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**EXTERNAL FINAL EVALUATION  
OF THE  
PROJECT TO REDUCE CHILD LABOR IN COLOMBIA  
“SOMOS TESORO” PROJECT**

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**O'BRIEN &  
ASSOCIATES**  
I N T E R N A T I O N A L

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## LIST OF ACRONYMS

ANM	National Mining Agency ( <i>Agencia Nacional de Minería</i> )
ARM	Alliance for Responsible Mining
ASM	Artisanal and Small-Scale Mining
CC	Coordinating Committee
CIETI	Interinstitutional Committee for the Eradication of Child Labor ( <i>Comité Interinstitucional para la Erradicación del Trabajo Infantil</i> )
CL	Child Labor
CLM	Child Labor in Mining
CMEP	Comprehensive Monitoring and Evaluation Plan
DBMS	Direct Beneficiary Monitoring System
DPS	Department of Social Protection ( <i>Departamento de Protección Social</i> )
ENETI	The National Strategy to Prevent and Eradicate the Worst Forms of Child Labor and Protect Youth Workers, 2017–2027 ( <i>La Estrategia Nacional para Prevenir y Erradicar las Peores Formas de Trabajo Infantil y Proteger al Joven Trabajador</i> )
ESAP	Higher School of Public Administration ( <i>Escuela Superior de Administración Pública</i> )
FA	Fondo Acción
FARC	Revolutionary Armed Forces of Colombia ( <i>Fuerzas Armadas Revolucionarias de Colombia</i> )
FMS	Fundación Mi Sangre
GOC	Government of Colombia
ICBF	Colombian Institute for Family Wellbeing ( <i>Instituto Colombiano de Bienestar Familiar</i> )
ILO	International Labor Organization
IO	Intermediate Objective
MEN	Ministry of Education ( <i>Ministerio de Educación Nacional</i> )
M&E	Monitoring and Evaluation
MINMINAS	Ministry of Mines and Energy ( <i>Ministerio de Minas y Energía</i> )
MINTRABJO	Ministry of Labor ( <i>Ministerio del Trabajo</i> )
NGO	Non-Governmental Organization
OSH	Occupational Safety and Health
SENA	National Training Service ( <i>Servicio Nacional de Aprendizaje</i> )
TOR	Terms of Reference
TPR	Technical Progress Report
UNICEF	United Nations Children’s Fund
USDOL	United States Department of Labor
WFCL	Worst Forms of Child Labor

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## EXECUTIVE SUMMARY

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### Introduction

On September 30, 2013, the U.S. Department of Labor’s (USDOL) Bureau of International Labor Affairs (ILAB) awarded Pact and its partners US \$9,000,000 over a four-year period to support the project entitled “Somos Tesoro,” (*We Are Treasure*). The partners include Fundación Mi Sangre (FMS), Fondo Acción (FA), and Alliance for Responsible Mining (ARM). In April 2017, Pact requested and received a no-cost extension that extended project activities from September 29, 2017 through June 30, 2018. In September 2017, Pact requested and received a cost extension of \$550,000 that extended project activities from June 30, 2018 through September 30, 2018 when the project is scheduled to end.

Somos Tesoro, which aims to reduce the number of children and adolescents ages 5-17 engaged in child labor, with a focus on child labor in mining (CLM) targets four municipalities in the gold-mining regions of Northeast and Bajo Cauca Antioquia that include, Segovia and Remedios; El Bagre, Zaragoza respectively. It also targets four municipalities in the coal-mining region of Boyacá that include Tópaga, Mongua, Sogamoso, and Gámeza. The project uses a multifaceted approach that focuses on 1) formalizing artisanal and small-scale mines; 2) improving household social and economic resilience; 3) increasing access to quality education; and 4) improving institutional mechanisms that protect and prevent children and adolescents from engaging in CLM. The project initially targeted 19,566 children and adolescents and 9,783 households, which included direct and indirect beneficiaries. USDOL approved a project modification that reclassified direct and indirect beneficiaries and reduced the number of direct children and adolescent beneficiaries to 13,000 and the number of direct household beneficiaries to 3,500.

The overall purpose of the Somos Tesoro final evaluation is to provide USDOL, Pact, FMS, FA, and ARM with an independent assessment of the project’s performance and experience. This evaluation reviews the achievements and performance of the project, examines the level of integration and coordination achieved during implementation, identifies additional opportunities and lessons learned for similar initiatives, and identifies best practices that have bolstered the sustainability of the results achieved.

The evaluation was conducted between February 19 and April 8, 2018. The evaluators contributed to the development of the terms of reference (TOR), reviewed project documents, and developed interview tools prior to carrying out fieldwork in Colombia from February 19-30. The fieldwork was conducted from March 5-16, 2018. The majority of the data analysis and writing of the report occurred from March 19 to April 8, 2018.

### Findings and Conclusions

#### *Relevance*

The project identified an appropriate set of integrated strategies to address root causes of child labor in mining. The strategies include mine formalization, livelihoods, public

policies, and education. The project’s communication strategy, which addresses internal and external communication and supports the project components, should have been one of the primary strategies and reflected as one of the intermediate objectives.

### *Validity of Project Design*

The theory of change was validated for several reasons. First, the four components of mine formalization, education, livelihoods, and policy are the right strategies to address CLM. Second, the project is demonstrating reductions in child labor and improvements in key performance indicators such as school dropout rates, reintegration into the school system, implementation of mine health and safety practices, and the adaptation of important child labor policies. Third, interviews with project beneficiaries, project managers and technical teams, and national and local government officials strongly suggest that the project strategies are contributing to the reduction in CLM.

### *Project Performance*

The project is on track to achieve all of its indicator targets for the five intermediate objectives. In fact, the project has met or exceeded targets for all indicators except output indicator #2, which is the number of households with at least one member who has completed job skills training. The project has made significant progress in achieving its livelihood and education indicator targets compared to the midterm evaluation. The reduction in target households from 9,783 to 3,500 and children and adolescents from 19,566 to 13,000 along with the intensification strategy and other adaptive management practices are largely responsible for the dramatic turn around.

### *Effectiveness of Strategies*

Miners who participated in *mine formalization* training demonstrated a thorough understanding of dangers of CLM as well as occupational safety and health and mine safety issues, including the risk of using mercury. Mines have taken concrete steps to improve health and safety, environment, and mine management. One particular challenge is the high turnover rate of coal miners. The project is continuously training new miners that replace those who departed, many of whom may have received only one training.

The project’s *livelihood strategy* is comprehensive and includes mine productivity, entrepreneurship training, productive projects, job skills training, household savings, protective environments for children in mining areas, and linkages to social programs. The entrepreneurship training laid the foundation for 42 pilot productive projects, many of which show interesting promise to improve household livelihood security.

*The Comprehensive Route of Territorial Management for the Prevention and Elimination of Child Labor in Mining* or the *Route* appears to be a highly effective strategy. The project used consultative and participatory approach to develop the *Route* that has created ownership and commitment on the part of national and municipal government officials.

The project developed and disseminated two important guides under this strategy. It also provided training to key government officials. The project was also instrumental in creating



linkages between artisan and small mines and the Ministry of Mines and Energy and the Ministry of Labor and helped create an understanding and appreciation among ministry officials of the challenges that ASMs face. The major challenge that could decrease the effectiveness of this strategy is the extent to which government agencies adapt and use the tools that have been or will be produced.

*PAZalobien* is a highly dynamic, participatory, and effective methodology. Both teachers and students who use PAZalobien report improvements in motivation and academic performance. It is also being used effectively outside the formal classroom to constructively engage adolescents that might otherwise decide to work in mines. Factors that could decrease its impact on CLM is that PAZalobien is not being implemented in many rural areas where CLM could be more problematic and the relatively low percent of teachers using the methodology.

*Safe and protective environments* is implemented under the livelihood security strategy and consists of training communities including community mothers on social vulnerability and protective environments for children and adolescents.<sup>1</sup> Parents attending parent schools are also trained on safe and protective environments.<sup>2</sup> One factor that could limit the effectiveness of the parent school training is the low attendance rate. School principals and teachers estimate that only 20 percent of parents attend.

The *communication strategy* is comprehensive and effective. It provides a roadmap and tools for effective communication among project staff and partners as well as effective communication about the project to external stakeholders. The social change component of the strategy is especially effective in supporting the five intermediate objectives.

The project developed the *intensification strategy* to address the midterm evaluation recommendation to focus on increasing indicator target achievements for the education and livelihood components. The intensification strategy along with reducing the target number of households, children, and adolescents and other adaptive management practices is responsible for a dramatic improvement in performance as it relates to achieving indicator targets.

The *involvement of key stakeholders* has been somewhat mixed. The majority of national level government counterparts have been engaged with the project. The Ministry of Education has been less involved because child labor is not one of its focus areas. Municipal governments have been involved in developing the *Route* and some are supporting CLM activities. One large multinational mining company that the project initially targeted to support the mine formalization process for ASMs have shown little interest in collaborating.

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<sup>1</sup> Community mothers are “leaders” who provide child care to poor and vulnerable families in the community under a program sponsored by the government

<sup>2</sup> Parent schools are essentially monthly meetings where school officials invite parents of students to discuss the school curriculum and other activities as well as the students’ performance.



The Coordinating Committee (CC) has played an important role in sharing information about the project and keeping key government stakeholders informed. However, government officials that are currently participating in the CC meetings are not entirely clear about the purpose of the CC, how often it meets, and the relationship to the National Interinstitutional Committee for the Eradication of Child Labor. It should be noted, however, that many of the current CC members were not involved in establishing the CC and developing the initial agreement.

### *Efficiency and Use of Resources*

The project is operating at an acceptable level of efficiency. The project’s expenditure rate, on the other hand, is slightly low. Based on financial information in the Project Status Report through February 2018, the budget is underspent by about four percent with eight months remaining.

### *Effectiveness of Project Management*

The most important management challenge the project faced was the turnover of project directors in 2014 that created a leadership vacuum that contributed to ineffective coordination among partners and disjointed implementation of strategies, which contributed to delays and low performance in terms of indicator target achievement. Since the midterm evaluation in 2016, the project has made significant improvements in partner coordination and teamwork that has increased the integration and effectiveness of its strategies. The project is on track to achieve its indicator targets.

### *Sustainability*

The *Route*, youth clubs, and the mine formalization-OSH guides show the best potential for sustainability. The *Route* is probably the most sustainable output. It is included as a technical annex to the *National Strategy to Prevent and Eradicate the Worst Forms of Child Labor and Protect Youth Workers, 2017 – 2027* (ENETI). While the presidential elections will likely result in key changes to civil servants and elected officials who support the *Route*, it enjoys a high chance of being sustained once the project ends because it is included as a technical annex to ENETI and included in the municipal government development plans. The youth clubs also show interesting sustainability potential given the high level of interest and motivation that youth club members demonstrate. The mine formalization-OSH guides also show promise since they are well aligned with MINMINAS formalization policy.

### *Best Practices*

Integrated approach. The integration of mine formalization, livelihoods, education, and policy interventions implemented in a well-coordinated manner by a consortium specializing in one of these components is considered a best practice.

The *Route*. The Comprehensive Route of Territorial Management for the Prevention and Elimination of Child Labor in Mining and especially the consultative and participatory way in which it was developed is another important best practice.

**Adaptive Management.** The project uses an adaptive management approach to ensure that the project makes important adjustments and modifications to achieve its objectives. The intensification strategy, discussed earlier, is part of the adaptive management approach.

**Communication Strategy.** While communication is not one of the five IOs, it has proven to be an indispensable component. The project’s communication strategy promotes effective internal communication among project partners and teams, external communication about the project including child labor to key stakeholders and supports important social change efforts.

**Local Facilitators.** The project decided to recruit and hire facilitators from the eight target municipalities. The project partners consider this to be a best practice because the local facilitators not only understand the local context, including security concerns, but have been able to effectively build trust with communities so child labor issues could be discussed and addressed.

**CMEP.** Somos Tesoro M&E team developed a simplified version and explanation of the CMEP called “CMEP for Everyone”. It also decided to train and use project field staff to collect data using the CHEVERE campaign to increase the quality of data.

**Mercury Test** The mercury test conducted by ARM with contamination results provided by the University of Antioquia was noted by ARM, MINMINAS, and the Director of Mines in El Bagre as a best practice because it allowed the project to use tangible evidence to develop and communicate messages about the risk of using mercury to miners and their families.

**Innovative Problem-Solving Tools.** Pact conducted a two-part field study using Human Centered Design to better understand Afro-Colombian and Indigenous populations.<sup>3</sup> Pact also conducted a study using Applied Political Economic Analysis (APEA) to better understand livelihoods strategies and how it might develop more effective productive projects.<sup>4</sup>

## **Recommendations**

*1. Coordinating Committee.* Pact should work with the CC members to define the purpose of the CC as well as the roles and responsibilities of the members. If the purpose of the of the CC can be defined to meet the needs and expectations of the CC members and member roles and responsibilities can be well defined, the CC should be able to make an important contribution to achieving project results.

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<sup>3</sup> Somos Tesoro Technical Progress Report, April 2017, Annex H5

<sup>4</sup> Somos Tesoro Technical Progress Report April 2017, Annex H6

2. *Comprehensive Sustainability Plan.* Project partners should revise the project’s current sustainability plan and matrix so it is more comprehensive and provide a clear roadmap to sustainability during the final months of the project.

3. *Project Extensions.* Pact should request two kinds of project extensions. The first extension should be a no-cost extension for two months and the second extension should be two-year cost extension to expand the project to two new municipalities.

4. *Arepa Factory Conditions.* Pact should investigate the conditions at the Arepa Factory in Segovia and take appropriate action. The factory has very poor ventilation to allow heat from the ovens to exit and fresh air to enter the cooking area. Women working in the factory complained about the high temperatures and reported that one worker felt faint due to the heat and had to sit.<sup>5</sup>

5. *Productive Project Groups.* Pact should use the remaining months in the project to strengthen the productive project groups. This would include further finance training, assistance in developing business plans that show income and expense projections, and technical training depending on the kind of productive project. The groups should pay for the necessary inputs from the income from sales, which will help them understand whether the project is viable and can generate a profit.

6. *Youth Club Networks.* FMS should identify those youth clubs that show the most potential for sustainability and work with them to develop continuation plans. These plans should include how the youth clubs intend to recruit and train new generations in PAZalobien activities. FMS should also organize the youth clubs into networks and link them to external resource organizations including FMS.

7. *PAZalobien Champions.* FMS should identify those schools that have a critical mass of teachers that have been trained in PAZalobien methods and are committed to using them. These schools and teachers would serve as champions who would be well place to sustain PAZalobien. FMS should also provide refresher training and ensure the school has complete sets of PAZalobien teaching guides and reference materials.

8. *ASM Resource Linkages.* ARM should identify ASMs most interested in continuing mine formalization and link them to resources to help them continue the formalization process. Once ARM helps link ASMs to resource organizations, the ARM facilitators should allow and encourage the ASMs to organize and request training, technical assistance, and other resources so they learn and develop confidence.

9. *New Civil Servants and Elected Officials.* FA should develop a strategy to orient and train new civil servants and newly elected officials on the *Route*. The project is working together with the Higher School of Public Administration (ESAP) to design a virtual course

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<sup>5</sup> At the time the evaluation report was being finalized, the project communicated evidence that it had addressed the high temperatures in the arepa factory by installing a ventilation system consisting of extractor fans and other measures.

for the *Route*. This course, which could be accessed by relevant civil servants, could for an important element of the strategy. Since the elections will also affect the composition of the CIETIs, FA should plan and implement further strengthening activities for CIETIs, especially those that are weaker.

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## I. CONTEXT AND PROJECT DESCRIPTION

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### 1.1. Context

Colombia is currently South America’s fourth largest gold producer and has the continent’s largest coal reserves.<sup>6</sup> The Government of Colombia plans to double coal exports, quadruple gold exports, and triple the area under mining by 2019.<sup>7</sup> While there are a number of large multi-national mining companies with substantial investments in Colombia, small artisanal mines play an important role in the mining sector. There are approximately 6,000 artisanal mines in Colombia, which account for more than 50 percent of all mineral production and provide a subsistence income for hundreds of thousands of Colombians.<sup>8</sup>

Artisanal and small-scale mining (ASM) is characterized by the lack of titles to mines, poor environmental and occupational safety and health (OSH) standards, lack of legal employment contracts and social security, inefficient and fluctuating productivity with low levels of working and investment capital, inadequate technical knowledge, and rudimentary tools and techniques with low levels of mechanization.<sup>9</sup> Artisanal mining may include gold panning and metal collection, which are activities often conducted by single-parent households.

The Mining Code (Law 685) that was enacted in 2001 re-categorized ASM as illegal.<sup>10</sup> To provide road map to legalization for artisanal miners and, at the same time, address the fact that many of the potential economic benefits of artisanal mining are lost through poor mining practices, the Government of Colombia is focusing on the process of formalizing artisanal mining by developing a regulatory and policy framework. However, according to researchers with the Alliance for Responsible Mining (ARM), government authorities lack the capacity and resources to regulate and supervise the informal mining sector, and to ensure that basic OSH standards are met.

Due to the informality of artisanal mining, there are no reliable statistics on the number of children engaged in activities related to the mining sector. In 2012, the Colombian Ministry of Labor’s System for the Identification and Registration of Child Labor (SIRITI) registered 5,200 children working in mines and quarries in Colombia. However, this number is likely much higher when taking into consideration the number of children who

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<sup>6</sup> <https://www.oroinformacion.com/es/OroInformacion/60/236/%C3%89stos-son-los-20-pa%C3%ADses-que-extraen-m%C3%A1s-oro.htm>

<sup>7</sup> Pact, Somos Tesoro, Project Document: Project to Reduce Child Labor in Mining in Colombia, Feb. 2016.

<sup>8</sup> Pact, *Ibid.*

<sup>9</sup> Pact, *Ibid.*

<sup>10</sup> Government of Colombia, Mining Code, Law 685, Chapter 16 and 17, <http://www.alcaldiabogota.gov.co/sisjur/normas/Norma1.jsp?i=9202>

engage in mining-related activities such as transportation, metal processing and ancillary activities such as selling food and providing supplies to miners.

Mining is considered to be one of the ‘worst forms of child labor’ (WFCL) because children are required to work under physically difficult and dangerous conditions. Children working in the mining sector are involved in a wide range of direct and indirect mining activities. For example, in coal mining, children load, pack, and store coal. In gold mining, on the other hand, children are involved in panning and scrap metal mining. In addition, children are involved in indirect activities such as transporting and selling minerals and selling food and supplies to the miners.<sup>11</sup>

Children engaged in mining face greater physical and mental stresses than adults due to their growing bones and organs, their vulnerability to disease and toxins, and their need for safe, nurturing environments to support their development. Their precarious, informal living and working conditions, accompanied by weak state presence, result in limited access to health care and education, including referral services for child protection.<sup>12</sup>

Mercury is typically used to process gold by separating the gold from ores. The gold amalgam is later burned to extract the pure gold and the mercury vapor is emitted directly into the air. People living close to the gold processing centers are exposed to mercury vapor well above the standards established by the World Health Organization. For example, a study conducted by the University of British Colombia found mercury levels near processing centers that ranged from 2,000 to 10,000 ng/m<sup>3</sup>, which is two to 10 times higher than the WHO standard of 1,000 ng/m<sup>3</sup>.<sup>13</sup> The study noted that children were especially vulnerable to mercury contamination.

Coal miners, especially children that work in or near coal mines, are exposed to a variety of health risks. One of the most important risks is coal dust, which can cause respiratory diseases including black lung. Since many small scales coal mines are unregulated or poorly regulated, they tend not to comply with requirements for air quality monitoring equipment or ventilation systems. Air quality monitoring and ventilation systems are critical to prevent methane gas build up and subsequent explosions. Boyacá, one of the project’s targeted departments, reported the highest rate of mine-related fatalities in the country. Most of these were attributed to methane gas explosions in coal mining operations.<sup>14</sup>

The midterm evaluation noted security threats posed by armed guerilla and paramilitary groups involved in illegal mining activities in regions targeted by the Somos Tesoro

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<sup>11</sup> Pact, *Op. Cit.*

<sup>12</sup> Pact, *Op. Cit.*

<sup>13</sup> Marcello Veiga, “Antioquia, Colombia: the world’s most polluted place by mercury: impressions from two field trips,” University of British Colombia, February 2010. [https://redjusticiaambientalcolombia.files.wordpress.com/2011/05/final\\_revised\\_feb\\_2010\\_veiga\\_antioquia\\_field\\_trip\\_report.pdf](https://redjusticiaambientalcolombia.files.wordpress.com/2011/05/final_revised_feb_2010_veiga_antioquia_field_trip_report.pdf)

<sup>14</sup> Radio Cadena Nacional, “Boyacá es el departamento con más fatalidades en minería,” Bogotá, November 21, 2015. <https://www.rcnradio.com/locales/boyaca-departamento-mas-fatalidades-mineria>

project. For example, the Office of the Inspector General for Colombia (Procuraduría General de la Nación) issued a detailed report in 2011 entitled “Minería Ilegal en Colombia. Informe Preventivo” stating that illegal mining activities along with coca cultivation and extortion were the principal sources of income to finance illegal armed groups such as the Revolutionary Armed Forces of Colombia (FARC) and the National Liberation Army (ELN) as well as criminal bands.<sup>15, 16</sup> While the Government of Colombia signed a peace agreement with FARC in November 2016, a peace agreement has not been reached with ELN who is accused of bombing a police station in January 2018 that killed seven police officers.<sup>17</sup>

The midterm evaluation also noted that Somos Tesoro project staff in the northeast region of Antioquia, many of whom were former child miners or come from mining families, shared personal stories of living and working with the increased presence of illegal armed groups. The same staff shared similar stories with the evaluation team during the final evaluation. For example, armed groups extorted money from families, businesses, and mine owners for “protection”. One staff member told the evaluators that his parents had to pay money on several occasions to several armed groups that claimed territory rights where the family mine was located. Many of the Somos Tesoro field staff have lived with security threats most of their lives.

## 1.2. Project Description

On September 30, 2013, the U.S. Department of Labor’s (USDOL) Bureau of International Labor Affairs (ILAB) awarded Pact and its partners US \$9,000,000 over a four-year period to support the project entitled “Somos Tesoro,” (*We Are Treasure*). The partners included Fundación Mi Sangre (FMS), Fondo Acción (FA), and Alliance for Responsible Mining (ARM).

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<sup>15</sup>Procuraduría General de la Nación. Minería, *Ilegal en Colombia. Informe Preventivo*. 2011.  
<https://www.procuraduria.gov.co/portal/media/file/MINERIA%20ILEGAL%20EN%20COLOMBIA%2020DOCUMENTO.pdf>

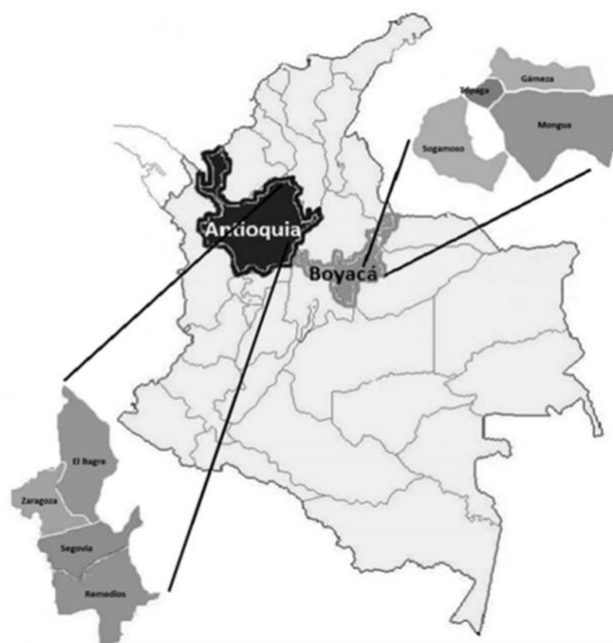
<sup>16</sup> FARC is now a political party; *Fuerza Alternativa Revolucionaria de Colombia*.

<sup>17</sup> <https://www.nytimes.com/2018/01/28/world/americas/colombia-police-bombings.html>



**Figure 1: Project Implementation Map**

The project targets children and adolescents engaged in or at risk of entering exploitative child labor, and households of targeted children using a multifaceted approach that focuses on 1) formalizing artisanal and small-scale mines; 2) improving household social and economic resilience; 3) increasing access to quality education; and 4) improving institutional mechanisms that protect and prevent children and adolescents from engaging in CLM.<sup>18</sup> The project initially targeted 19,566 children and adolescents and 9,783 households, which included direct and indirect beneficiaries. Based on a recommendation in the midterm evaluation, USDOL approved a project modification that reclassified direct and indirect beneficiaries and reduced the number of direct children and adolescent beneficiaries to 13,000 and the number of direct household beneficiaries to 3,500.

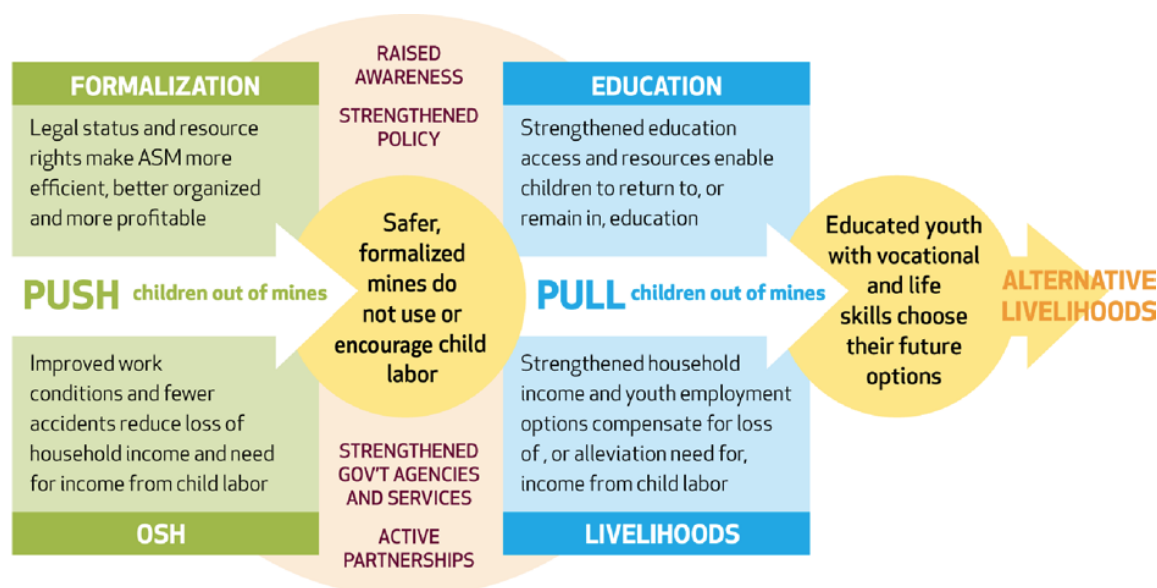


The project implements a two-pronged approach that aims to “push” children out of the mining sector through formalization and “pulls” them through the educational system and vocational training thus creating improved livelihood options as children transition into adults, which might include work in the formal mining sector. Figure 1 shows the project’s conceptual framework.<sup>19</sup>

<sup>18</sup> Please note that through IO4, the project also works on institutional capacity to facilitate formalization of artisanal and small-scale mining, which do not directly protect/ prevent, but contribute to CLM reduction efforts. This is different from IO1, through which, the project directly works with miners.

<sup>19</sup> Somos Tesoro Project Document, May 2016.

**Figure 2: Somos Tesoro Conceptual Framework**



The conceptual framework is comprised of four components: formalization, education, livelihoods, and public policy. Pact and its three partners share the responsibility for implementing project activities under each project component. These components and the primary implementing partner(s) are listed in Table 1.

**Table 1: Project Components and the Corresponding Implementing Partner**

Component	Implementing Partner
1) <b>Formalization:</b> Formalization of ASMs and capacity development	ARM
2) <b>Livelihood:</b> Improvement of household social and economic resilience	Pact ARM
3) <b>Education:</b> Retention of children and adolescents in education system by improving access to quality formal, non-formal and vocational education	FMS (formal and informal education) Pact-ARM (vocational education)
4) <b>Public Policy:</b> Improvement in institutional mechanisms at the local and national level that protect and prevent children from engaging in CLM	FA ARM

The overall objective of the project is to reduce the number of children and adolescents (ages 5-17) involved in child labor in mining and WFCL in artisanal and small-scale gold mining and coal mining in the eight targeted municipalities located in the departments of Antioquia and Boyacá. The four components described in Table 1 form the bases for the projects' five intermediate objectives, which are listed below.

1. ASM activity that complies with occupational health and mining safety standards to reduce risks that lead to accidents or sicknesses, as well as other steps to mine formalization.
2. Target households with reduced socioeconomic vulnerability.

3. Target departments and municipalities with mechanisms for child protection and prevention of CLM.
4. Institutional mechanisms in place which contribute to the elimination of CLM.
5. Children and adolescents at risk of or engaged in CL with increased opportunities to access quality education.

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## II. EVALUATION PURPOSE AND METHODOLOGY

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### 2.1. Evaluation Purpose

The overall purpose of the Somos Tesoro final evaluation is to provide USDOL and Pact with an independent assessment of the project’s performance and experience. Specifically, the evaluation is intended to achieve the following objectives.

1. To review the achievements and performance of the project (extent to which the objectives, outcomes and targets have been achieved).
2. To examine the level of integration and coordination achieved during implementation and to analyse the extent to which this integration had a positive impact on the results of the project.
3. To identify additional opportunities (entry points) and lessons learned as input for other initiatives for the prevention and eradication of child labour in Colombia.
4. To identify best practices that have bolstered the sustainability of the results achieved.

USDOL and Pact developed a set of questions to guide the evaluation. The questions address key issues in (1) relevance; (2) project design and validity; (3) project performance; (4) efficiency and use of resources; (5) effectiveness of interventions/strategies; (6) effectiveness of project management; (7) sustainability; and (8) best practices and lessons learned. The evaluation questions appear in the Terms of Reference (TOR) in Annex A.

This final evaluation should also provide USDOL, Pact and its partners, and the Government of Colombia, and other project stakeholders an assessment of the project’s experience in implementation, its impact on project beneficiaries, and the likelihood of sustaining key outputs, outcomes, and impacts.

### 2.2. Methodology

**Evaluation Team.** A two-member team conducted the final evaluation of the Somos Tesoro project. *Dan O’Brien*, founder and president of OAI, served as the lead evaluator. Dan is a seasoned labor evaluation expert that has conducted more than 25 evaluations for USDOL and the ILO. He evaluated USDOL-funded child labor prevention projects in Honduras, Guatemala, Nicaragua, El Salvador, the Dominican Republic, Indonesia, and Uganda. He also evaluated USDOL and State Department-funded labor strengthening programs in Honduras, Guatemala, Nicaragua, Honduras, El Salvador, Guatemala, Peru, the Dominican Republic, Haiti, Bangladesh, Jordan, and Indonesia.

*Ena Lilian Nuñez*, served as the assistant evaluator. Ena is a labor lawyer with extensive child and labor rights experience in Latin America. Ena consults frequently with the ILO and the Fair Labor Association on labor rights issues including child labor. She is also an experienced evaluator. She co-conducted the final evaluation of the *Todos y Todas Trabajamos* project funded by USDOL and implemented by Catholic Relief Services in Central America and the Dominican Republic. She also co-conducted the final evaluation

of the *Strengthening Unions to Protect Worker Rights* in Peru project and the midterm evaluation of the *Strengthening the Labor Inspection System* in Peru. Both projects were funded by USDOL.

**Evaluation Schedule.** The evaluation was conducted between February 19 and April 8, 2018. The evaluators contributed to the development of the TOR, reviewed project documents, and developed interview tools prior to carrying out fieldwork in Colombia from February 19-30. The fieldwork was conducted from March 5-16, 2018. The majority of the data analysis and writing of the report occurred from March 19 to April 8.

**Data Collection.** As noted previously, USDOL and Pact developed a list of evaluation questions that served as the basis for the evaluation. The questions were used to develop guides and protocols for the key informant interviews, focus group discussions, and document reviews. The master key informant interview guide is listed in Annex B. The following methods were employed to gather primary and secondary data.

*Document Reviews:* The evaluators read numerous project documents and other reference publications. These documents included the technical proposal, final project document (May 2016), comprehensive monitoring and evaluation plan (CMEP), baseline study, technical progress reports, and other supporting project materials found on the Somos Tesoro website or obtained during the fieldwork component. Annex C shows a complete list of documents that were reviewed.

*Key Informant Interviews:* The evaluators conducted 33 key informant interviews (individual and group) with USDOL and Pact HQ staff, project staff, partners, municipal government officials, school principals, and national government officials. The USDOL and Pact HQ interviews were conducted by telephone. The interviews with project staff and partners were conducted in Medellín and Bogotá. Interviews with key local government staff, school principals, and project field teams were conducted in the eight target municipalities of El Bagre, Zaragoza, Segovia, Remedios, Tópaga, Mongua, Sogamoso, and Gámeza. The interviews with national government counterparts were conducted in Bogotá.

*Focus Group Discussions:* The evaluators also conducted 29 focus group discussions with teachers, youth, miners, and members of productive projects. The size of the focus group discussions generally ranged from five to 12 persons. The focus group discussions with teachers and youth were conducted in schools and youth club offices while those with miners were conducted on the mining site, typically in an office. The interviews with productive groups were conducted in the site of the productive activity.

In total, 262 stakeholders were interviewed including 161 women and 101 men. Table 2 provides a summary of the stakeholder groups interviewed, sample size and their characteristics. A complete list of individuals interviewed appears in Annex D.

**Table 2: Stakeholders, Sample Size and Sample Characteristics**

Stakeholder Group	Sample Size	Sample Characteristics
Somos Tesoro project staff	39	Somos Tesoro staff representing the four-party consortium: Pact, FMS, FA, and ARM
Partners	5	Non-project staff from the consortium: FMS and FA
Central government officials	13	National government counterparts including MINMINAS, MINTRABAJO, MINCULTURA, ICBF, and DPS
Municipal government representatives	14	Mayor’s Office, Secretary of Government, and others
Municipal government technical officials	2	SENA
Teachers	32	Teachers trained in methodologies that are being implemented in formal and informal educational settings
Miners	35	Coal and gold miners benefitting from technical assistance during the formalization process and OSH training
Child and adolescent beneficiaries	55	Children and adolescents benefitting from formal and informal educational interventions
Livelihood beneficiaries	64	Members participating in livelihood productive projects and one community mother
International officials and consultants	3	USDOL and Pact Headquarter staff and ILO official in Bogotá
<b>TOTAL</b>	<b>262</b>	

*Observations:* In addition to the key informant interviews and focus group discussions, the evaluators conducted observations of three PAZalobien activities in El Bagre, Zaragoza, and Segovia. The PAZalobien activity in El Bagre consisted of secondary grade youth involving primary grade children in theatre and art play. In Zaragoza, the PAZalobien activity consisted of a youth group acting out child labor scenes in the town square to educate people passing in the park about the dangers of child labor in the mining sector. In Segovia, the evaluator observed a teacher using the PAZalobien methodology to teach science.

**Data Analysis.** The evaluators used both quantitative and qualitative methods to analyze data. Quantitative data were obtained from the CMEP and incorporated into the analysis. The document reviews, key informant interviews, and focus group discussions generated a substantial volume of raw qualitative data. The evaluators used qualitative data analysis methods, including matrix analysis, to categorize, triangulate, synthesize, and summarize the raw data captured from the interview notes. The results of the data analysis provided

tangible blocks of information, which the evaluator used to write the evaluation report. The data analysis was driven by the evaluation questions in the TOR.

**Limitations.** The scope of the evaluation specifies two weeks of fieldwork, which was not enough time to interview the range of stakeholders that are participating in the project. This is especially true for children, youth, and household beneficiaries. The evaluators believe the sample described in Table 2 accurately represents the views and experiences of the youth, teachers, miners, and household members participating in the project.

Responder bias that might have been introduced since the project is very popular and well received by all stakeholder that were interviewed. Based on focus group discussions and key informant interviews, stakeholders told the evaluators that they do not want the project to end. Thus, interviewees could have been reluctant to criticize the project (responses to questions) if they thought criticism might harm any chance of extending the project. It should also be noted that this was a non-random, purposive sample, the findings cannot be generalized to the total population of targeted beneficiaries.

This was not a formal impact assessment. The findings for the evaluation were based on information collected from background documents, key informant interviews, and focus group discussions. The accuracy of the evaluation findings is predicated on the integrity of information provided to the evaluators from these sources and the ability of the evaluators to triangulate, synthesize, and report this information.



### III. FINDINGS

The following findings are based on fieldwork interviews with project staff, partners, beneficiaries, and government and non-government stakeholders as well as reviews of project documents, reports, and other publications. The findings address the questions in the TOR and are organized according to the following evaluation areas: relevance, project design and validity, project performance, effectiveness of strategies, efficiency, effectiveness of project management, sustainability, and lessons and best practices.

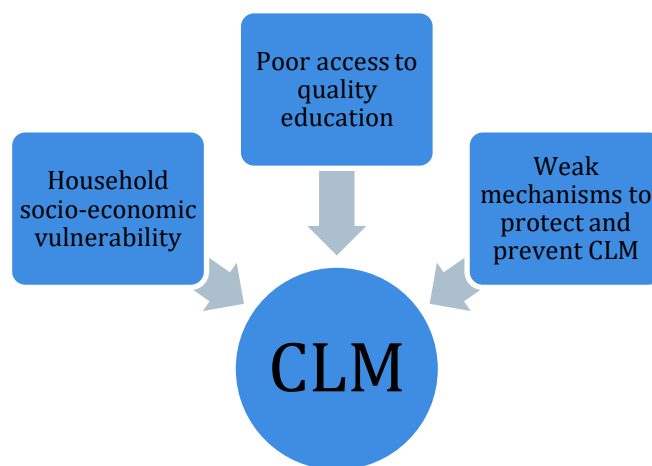
#### 3.1. Relevance

Relevance refers to the extent to which the project is suited to the priorities and policies of the beneficiaries as well as the host government.<sup>20</sup> This section attempts to assess relevance by answering the question of how the different components contributed to reducing child labor (Evaluation Question #1).<sup>21</sup>

##### 3.1.1. Somos Tesoro Project Components

During the CMEP process (workshop #1), Somos Tesoro staff, partners, and selected key stakeholders conducted an extensive problem analysis to identify the range of causes and consequences of CLM in Colombia. During the revision of the project document and CMEP, the project refined the causes, which are shown in Figure 1 and appear in the Somos Tesoro CMEP document.<sup>22</sup>

**Figure 3: Primary Causes of Child Labor in Mining in Colombia**



<sup>20</sup> <http://www.oecd.org/dac/evaluation/daccriteriaforevaluatingdevelopmentassistance.htm>

<sup>21</sup> Note that Evaluation Question #2, regarding impact of mine formalization and livelihoods activities, will be answered in Section 3.3. under the discussion of the effectiveness of the formalization and livelihoods strategies.

<sup>22</sup> Somos Tesoro Comprehensive Monitoring and Evaluation Plan, November 2017.

The primary causes of CLM shown in in Figure 1 were used by the project staff to identify four primary strategies that the project refers to as the components.

1. **Mine Formalization:** Support the process of formalizing the artisanal mining sector and applying OSH standards. Safer, formalized mines do not encourage or use child labor.
2. **Household Livelihood Security:** Assist households within mining communities to reduce socioeconomic vulnerability that can lead to greater dependence on child labor. These are essentially livelihood security interventions.
3. **Education:** Provide increased opportunities for access to quality education for children and adolescents who are at risk of or engaged in CLM.
4. **Public Policy:** Provide knowledge, training, political tools and spaces for dialogue to strengthen institutional capacities for the prevention and reduction of CLM.

### 3.1.2. Relevance and Impact of the Components

To assess relevance, the evaluation team asked project staff, partners, and key government stakeholders whether they believed the four project components were the correct components to address CLM and whether they have had the intended impact. All of these stakeholders opined that after four years of implementation, the four project components are still relevant. Project staff and partners believe that communication should have been a cross-cutting component given its critical role in supporting the four components and helping achieve social change. This is discussed in more detail in Section 3.2 under the project’s theory of change.

Regarding the impact part of the question, it should be noted that assessing the impact of the project components is beyond the scope of this evaluation. Once the endline survey is conducted and the indicator data analyzed, project stakeholders should get an indication to what extent some of the impact level indicators, such as children involved in child labor and increases in household assets, changed since the baseline survey.<sup>23</sup>

In an attempt to answer whether the project components had the intended impact, the evaluation team asked the key stakeholders if they perceived that the four project components helped to reduce CLM. Again, stakeholders interviewed believe the project components were effective at reducing child labor. Based on the interviews, there is a strong perception among project staff, partners, government officials, and other key stakeholders that Somos Tesoro is responsible for reducing the prevalence of child labor in the mining sector in the eight target municipalities through its mine formalization process, formal and non-formal education approaches, household livelihood strengthening initiatives, and policy strategies.

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<sup>23</sup> The endline survey is planned for April 2018.

The project developed a communication strategy in 2014 that consists of three primary approaches, including activities to ensure effective internal communication, the effective and consistent of communication about the project to external stakeholders, and a comprehensive social change approach focused on using media to educate the public about child labor. The communication strategy, which is included in the project document, as well as its effectiveness are discussed in more detail in Section 3.4.

Although communication is not one of the project objectives comprising the theory of change, the project staff and partners believe it should have been. They told the evaluators that if they were going to redesign the project or design a similar project, a rigorous communication strategy should be a cross-cutting intermediate objective (IO) in the project’s theory of change that supports the other IOs, especially the social change approach that project staff and partners believe shows interesting promise.

## **3.2. Validity of Project Design**

This section assesses the validity of the project design’s theory of change and attempts to determine whether the achievements are consistent with the theory of change and identify the factors that positively or negatively impacted the theory of change (Evaluation Question #3).

### **3.2.1. The Project’s Theory of Change**

The Comprehensive Monitoring and Evaluation Plan (CMEP) states the project’s theory of change as a reduction of child labor in target municipalities will be achieved by addressing the underlying causes of child labor. The underlying causes include the family’s socioeconomic vulnerability to child labor in mining areas, ineffective or absent institutional capacity to apply child labor protection mechanisms, prevent CLM, and maintain mine safety and hygiene, and limited access to quality education.<sup>24</sup>

To address the underlying causes of child labor in the target municipalities, the project developed the following five intermediate objectives that serve as the foundation of theory of change and results framework:

1. ASM activity complies with occupational health and mining safety standards to reduce risks that lead to accidents or sicknesses, as well as other steps to mine formalization;
2. Targeted households with reduced socioeconomic vulnerability have increased assets;
3. Targeted departments and municipalities have improved mechanisms for child protection and prevention of CLM;
4. Institutional capacity to contribute to the elimination of CLM is increased; and

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<sup>24</sup> Somos Tesoro Comprehensive Monitoring and Evaluation Plan, November 2017.

5. Children and adolescents at risk of or engaged in CL have increased opportunities to access quality education.

The CMEP also notes that each objective itself is not sufficient to reduce child labor. Rather, the integrated nature of objectives is critical to creative synergies that contribute to reducing child labor.

### **3.2.2. Project Achievements and the Theory of Change**

As discussed previously, interviews with project staff, partners, and key stakeholders confirm that the project’s components consisting of mine formalization, education, household livelihood security and public policies are the right components to effectively address CLM. These stakeholders also believe that the four project components have contributed to reducing child labor in the eight target municipalities.

The evaluation team agrees that the project has managed to effectively integrate the components and make important achievements to reduce CLM. During visits to mines, schools, communities, and municipal government offices, the evaluators observed first-hand the effectiveness of the PAZalobien methodology, measures taken by mines and miners to improve health and safety as well as productivity, productive projects showing promise for increasing household income and assets, and municipal government officials committed to implementing child labor policies. The performance of the five intermediate objectives are discussed in detail in Section 3.3 while the effectiveness of all project strategies is discussed in Section 3.4.

### **3.2.3. Validation of the Theory of Change**

The theory of change is built on a sequential flow of internal causal logic around the project’s outputs and IOs. For example, if the outputs are achieved, the IOs will be achieved and if the IOs are achieved, it will contribute to achieving another, related intermediate objective and so forth. If the five intermediate objectives are achieved and the assumptions hold, CLM should be reduced.

In general, the evaluation team believes the theory of change was validated for several reasons. First, as discussed above, the four components of mine formalization, education, livelihoods, and policy are the right strategies to address CLM. Second, the project is demonstrating reductions in child labor and improvements in key IO performance indicators such as school dropout rates, reintegration into the school system, implementation of mine health and safety practices, and the adaptation of important child labor policies. Third, interviews with project beneficiaries, project managers and technical teams, and national and local government officials strongly suggest that the project strategies are contributing to the reduction in CLM.

To validate the theory of change, the evaluation team analyzed the hypothesis of each IO to assess the logical linkages between the IOs and the overall project goal to reduce CLM. The analysis also includes factors that strengthen or weaken the hypothesis and thus impact the theory of change. In some cases, there were not sufficient data available for the

evaluators to make definitive conclusions about proving or disproving the hypotheses. The IO hypotheses and factors impacting them are discussed below.

### **Compliance with OSH and Other Mine Formalization Standards**

The hypothesis of the mine formalization objective is that increased health and safety at the mines will lead to increased productivity (less accidents and related illnesses) among the adult miners, thus lowering the need for children in the family to work to supplement household income or replace parents who are injured or ill.

According to the October 2017 TPR, the percent of targeted artisanal and small-scale mining units that implement occupational health and mining safety requirements as well as other aspects of formalization increased from 39% in October 2016 to 94% in October 2017, which represents an important increase.<sup>25</sup> However, the project’s performance monitoring plan does not measure increased productivity and related factors such as accidents and illness that, according to the hypothesis, should decrease the need for children to work to replace parents who are injured or ill.

The October 2017 TPR shows improvements in the reduction of CLM. The percent of children and adolescents involved in child labor decreased from 31 percent to six percent from October 2016 to October 2017 while the percent of beneficiaries involved in hazardous child labor decreased from 13 percent to five percent during the same period.<sup>26</sup> While the project increased the percent of mines that implement improved health and safety measures and reduced CLM, the evaluation team cannot determine whether improved health and safety contributed to the reduction of CLM because productivity, which is key to the hypothesis’s causal logic, is not measured and reported.

The evaluators identified a couple of factors that weaken the hypothesis. The first factor is that the project is not working with ASMs in El Bagre and Zaragoza in Antioquia due to how the mine concession is structured. According to the Director of Mines in El Bagre, 80 percent of the land around El Bagre and Zaragoza is protected as a national reserve. The remaining 20 percent that is eligible for mining activities is included in a perpetual mining concession that is held by Mineros S.A. Any mine operating outside the concession is considered illegal. According to ARM, the project tried numerous times to approach Mineros S.A. to see if the company would be willing to provide sub-contracts to ASMs so they could operate legally and, thus, work with Somos Tesoro on formalization. Apparently, Mineros S.A. is not interested in sub-contracting ASMs.

The second factor that weakens the theory of change in El Bagre and Zaragoza is the scarcity of gold. During interviews, many of the gold panners told the evaluators that they are no longer panning for gold because it is very scarce. They explained that the

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<sup>25</sup> Somos Tesoro Technical Progress Report, October 2017. The first time this indicator was measured and reported was October 2016.

<sup>26</sup> Somos Tesoro Progress Report, October 2017. The first time POC 1 and 2 were measured and reported was in October 2016.

government does not allow drudges and backhoes to dig, which moves the earth and exposes gold and other minerals. As long as the government considers digging to be illegal for those without a title, these subsistence miners face limited opportunities to pan for gold and, thus, have opted for other livelihood strategies. It should be noted that drudges and backhoes are expensive equipment that gold panners would not be able to purchase or rent. In addition, they are not considered part of ASM but rather criminal activities that the project cannot and should not address.

To address these two factors, Somos Tesoro has opted for working with subsistence miners such as gold panners (*barequeros*) and scrap miners (*chatarreras*) to introduce safer and more environmentally friendly techniques and raise their awareness regarding the benefits of forming cooperatives or groups. The Director of Mines in El Bagre told the evaluators that to operate legally and be eligible for support, the gold panners and scrap miners have to register with the government.

While the inability to work with ASMs and the scarcity of gold weakens the hypothesis in in El Bagre and Zaragoza, the evaluation team believes the project has taken the appropriate decision to work with gold panners and scrap miners and train them in health and safety that minimizes the impact these factors have on the hypothesis and the validity of project’s theory of change.

### **Increased Access to Quality Education**

The hypothesis behind this objective is that quality educational opportunities, including vocational training, helps prevent CLM. Children and adolescents who remain in school are less likely to work in the mines. In addition, when parents and caretakers understand that their children are benefiting from the educational system that improves employment opportunities, they are more likely to keep children in school rather than allowing them to drop out of school and work in mine-related activities.

In general, the evaluators believe the project’s educational interventions validated this hypothesis. For example, the PAZalobien methodology used by FMS, as discussed in Section 3.4, is highly effective motivating children and adolescents to attend school. The At the time of the baseline survey, 5.71 percent of children and adolescents dropped out of school. According to the October 2017 TPR, the percent decreased to .46 percent.<sup>27</sup> Based on data provided by the project and interviews with key stakeholders, the evaluation team believes that the PAZalobien methodology is a key factor in keeping children and adolescent from dropping out of school, which helps prevent CLM.

The evaluators identified one important factor that they believe weak the hypothesis. The evaluation team understands that when FMS initiated activities in 2014, it made the decision to focus on primary and secondary schools in urban areas of the municipal capitals. This decision was based on the fact that there is a higher concentration of children and adolescents at risk for or in CLM than in rural areas, working in some rural areas

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<sup>27</sup> Somos Tesoro Technical Progress Report, October 2017.

presents a serious security risk for project field teams where illegal armed groups are located, and traveling to rural areas is difficult due to the high cost of transportation.<sup>28</sup> The focus on urban schools was justified because most municipal capitals are close to mining activities and many municipal towns have rural characteristics.<sup>29</sup>

The evaluation team believes that focusing only on urban schools in certain municipalities weakens the hypothesis of the education objective because children and adolescents living in rural close to mining operations are at high risk for CLM. Rural households are vulnerable because they have less access to resources, household members are less educated, and livelihood systems are generally weaker.<sup>30</sup>

### **Reduced Socioeconomic Vulnerability**

The underlying hypothesis of this objective is that households with a stronger and increased asset base are more economically resilient. This resiliency will allow them to offer educational opportunities to their children, which, in turn, will decrease the need for children and youth in the household to engage in CLM. It would also reduce the need for supplemental income generation by children and adolescents to sustain these households.

This objective includes a focus on building a diverse set of skills that open the door to livelihood opportunities. Skills are developed through training and support for entrepreneurship, career guidance, mentoring, post-training technical assistance, linkages to job resource centers, household savings, nutrition and food security, and economic activities. In addition, the project postulates that skilled workers will have better bargaining power for negotiating employment arrangements, which would increase income and, thus, decrease vulnerability to CLM.

The project performance monitoring plan includes an indicator that measures household assets. Since the indicator is part of the direct beneficiary monitoring system, the project measured the indicator at the beginning of the project and intends to measure it again when the project ends. Until the indicator is actually measured at the end of the project, it is not certain whether household assets increased, which is key to the hypothesis.

Since the evaluators did not have access to household asset data, they examined the project objective level indicators (POC 1 and 2) for child labor and the performance indicators for education. As noted previously the percent of beneficiaries involved in child labor decreased from 31 percent to six percent from October 2016 to October 2017 while the percent of beneficiaries involved in hazardous child labor decreased from 13 percent to five percent during the same period.<sup>31</sup> As discussed above, the percent of children and

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<sup>28</sup> Transportation to some rural areas is not available.

<sup>29</sup> It should also be noted that due to socio-economic vulnerability and proximity to mines, the project considers all children in these areas to be at risk.

<sup>30</sup> <http://dapa.ciat.cgiar.org/wp-content/uploads/AboutUs/PolicyBriefs/policy-brief-7-policies-bridging-urban-rural-in-colombia.pdf>

<sup>31</sup> Somos Tesoro Progress Report, October 2017. The first time POC 1 and 2 were measured and reported was in October 2016.



adolescents that drop out of school decreased from 5.71 percent in October 2016 to .46 percent in October 2017.

As noted above, the hypothesis states that an increase in household assets will increase educational opportunities that, in turn, will reduce CLM. While it is not clear whether household assets increased, it is clear that the fewer children and adolescents are dropping out of school and fewer are involved in child labor. Since household assets is key to the hypothesis’s causal logic, the evaluation team cannot say for certain that increases in assets helped reduce CLM and school dropout rates. It does, however, appear that project efforts to increase household resiliency is playing an important role.

The evaluators identified an important factor that weakens the hypothesis behind this objective. During focus group discussions, the evaluators asked what kinds of Somos Tesoro activities they participated in and what they thought about them. Several groups mentioned that they received training on employment; how to look for jobs and how to prepare for interviews. They noted that while the training was interesting, they have not been able to use it due to the lack of employment opportunities in the area. The evaluators raised the employment issue with the livelihoods field teams. Several team members also mentioned the lack of employment opportunities, which is why, according to one field team member, the project will focus more on entrepreneurship and productive projects.

If the other activities such as entrepreneurship and household savings are effective enough to increase household assets, the lack of employment opportunities should not considerably weaken the hypothesis. As discussed above, measuring household assets during the endline survey will provide a clearer picture as to whether the lack of employment opportunities negatively impacted the hypothesis.

### **Child Labor Prevention and Child Protection Policies**

The hypothesis of this objective is that a clear policy framework on child labor prevention and child protection along with inter-institutional coordination and capacity building will ensure that regulations are effectively implemented and effective implementation of regulations will reduce CLM. The policy framework is the *Integrated Route for the Prevention of Child Labor in Mining* or the *Route*, which has been adopted by the government as a technical annex for the *National Strategy to Prevent and Eradicate the Worst Forms of Child Labor and Protect Youth Workers, 2017 – 2027* (ENETI).<sup>32</sup>

At the time of the evaluation, *the Route*, was being piloted in the target municipalities. Thus, the evaluators could not determine whether it has been effectively implemented as stated in the hypothesis. However, based on interviews with municipal government officials, the evaluators believe that they are committed to implementing the *Route*. The strong commitment to implement the *Route* can be attributed to a highly consultative

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<sup>32</sup> The *Route*, which is described in more detail in Section 3.4, is practical guide for public officials and civil society organizations to prevent and reduce CLM at local levels.

process employed by FA, which the evaluators believe is a factor that strengthens the hypothesis.

The evaluators also discovered a couple of factors that weaken the hypothesis. First, presidential elections are planned for May 27, 2018 and local elections are planned for October 2019. During interviews, officials from several ministries told the evaluators that the new administration would likely change civil servants at the national, departmental, and municipal levels. If Somos Tesoro would continue activities, it would be working with an entirely new set of government officials unfamiliar with the project and the *Route*.

The second, somewhat related factor that weakens the hypothesis, is the availability of resources and decisions about how to allocate resources to implement the *Route*. During interviews with mayors in Segovia, Mongua, and Tópaga, the evaluators were told that the municipal governments have very limited resources to implement the *Route*. One mayor specifically commented that “the government passes legislation that requires us to implement regulations but it does not allocate additional funds.”

To address the likely turnover of key government officials and the availability of resources, Somos Tesoro has taken several concrete steps that include plans to orient and train government officials and facilitate the inclusion of related themes into municipal government programs and budgets so they become part of the institutional mandate. The evaluators opine that these measures to address the threat factors are appropriate and that the implementation of the *Route* should contribute to reducing CLM.

### **Institutional Mechanisms to Eliminate CLM**

This objective hypothesizes that mine formalization policies and tools along with increased intra-agency capacity to implement mine formalization regulations, such as OSH standards, will lead to a reduction in CLM. The evaluation team identified factors that both strengthen and weaken this hypothesis, which are discussed below.

An important factor that strengthens the hypothesis is that MINMINAS and MINTRABAJO are strong supporters of ARM and Somos Tesoro.<sup>33</sup> Ministry representatives participated in the development and piloting of the tools as well as policy recommendations. They assured the evaluators that they are committed to working with ARM to ensure the tools become part of national policy for the mining sector. Based on the interviews, the evaluators are relatively certain that MINMINAS and MINTRABAJO will look for opportunities to use the tools since mining is a priority for the Colombian government.

The evaluators believe that there is ample evidence, based on the achievement of the project’s performance indicators, that capacity building and mine formalization tools developed by the project have made an important contribution to reducing CLM. Whether

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<sup>33</sup> The strong relationship between MINMINAS and MINTRABAJO strengthens all of the components.

the reduction in CLM can be sustained in the longer term will depend on to what extent the government uses the tools to implement mine formalization regulations.

### 3.3. Project Performance and Progress

While the TOR does not include a specific evaluation question on project performance and progress against the indicator targets, one of the overall objectives of the evaluation is to review the achievements and performance of the project including the extent to which the objectives, outcomes and targets have been achieved. This section examines the progress the project has made in achieving its end of project indicator targets for the five IOs.

#### 3.3.1. Compliance with OSH and Other Mine Formalization Standards

The mine formalization IO consists of one outcome indicator (OTC) and one output indicator (OTP) that aim to measure the percentage of ASMs that implement OSH requirements and other aspects of formalization supported by the project. Table 3 compares actual achievements in October 2015 and October 2017 against the indicator targets. The evaluation team decided to compare achievements in October 2015 and October 2017 because it provides a two-year period to assess progress in achieving the overall end-of-project indicator targets.

**Table 3: Compliance with OSH and Other Mine Formalization Standards<sup>34</sup>**

Indicator	Achieved Oct. 2015	Achieved Oct. 2017	End of Project Target	Status
<b>IO 1. ASM activity that complies with occupational health and mining safety standards to reduce risks that lead to accidents or sicknesses, as well as other steps to mine formalization</b>				
OTC 1. Percent of targeted artisanal and small-scale mining units that implement occupational health, mining safety requirements and other aspects of formalization supported by Somos Tesoro	0%	94%	80%	+14%
OTP 1. Number of target artisanal and small-scale miners trained in occupational health, mining safety standards and other aspects of formalization supported by Somos Tesoro	750	2,419	1,000	+1,419

It should be noted that OTC 1 initially intended to calculate the percent of ASMs that achieved mine formalization. Once the project started, ARM staff realized that it would be nearly impossible for ASMs to meet all of the criteria required to achieve 100 percent formalization. During the first workshop to develop the CMEP, project staff developed a checklist to track mine formalization progress and measure the indicator, which is the percent of ASMs that implement at least one OSH requirement or another mine

<sup>34</sup> Source: Somos Tesoro Technical Progress Report, October 2017

formalization aspect described in the definitions of mining and requirements of the mine formalization process.<sup>35</sup> The implementation of OSH requirements and other mine formalization aspects are verified through the mining units’ workplans.

The project reported in October 2017 technical progress report (TPR) that 94 percent of the ASMs implement OSH requirements and other aspects of mine formalization, which exceeds the target of 80 percent by 14 percent. At the time of the final evaluation, the project was providing mine formalization training and technical assistance to 80 mines. The project is only working with 11 ASMs in Antioquia for a variety of reasons. In El Bagre and Zaragoza, Mineros S.A. is unwilling to provide subcontracts to ASMs, In Segovia and Remedios, the subcontracts provided by Gran Colombia Gold are precarious and short-term. It should be noted that the vast majority, 69 of the mines, are coal mines located in Boyacá.

OTP 1 measures the number of ASM miners trained in mine formalization including OSH requirements. In October 2015, the project had trained 750 miners or about 75 percent of the total target number of 1,000 miners. As of October 2017, the project trained 2,419 or nearly two and a half more miners than targeted. According to the mining component coordinator, the design of the indicator and how it counts miners trained is why the project exceeded its target by such a larger number. For example, the target number was set at 1,000 miners because that is the number of miners, on average, that work in the mines targeted by the project. While the total number of miners is relatively consistent at around 1,000, the turnover rate is high. Although the project provides a range of training sessions on mine safety and health topics, the project counts a miner as trained after receiving the first training.<sup>36</sup> Given the high turnover rate, the project is continuously training new miners that replace those who departed, many of whom may have received only one training.

### **3.3.2. Reduced Socioeconomic Vulnerability**

The project’s livelihood IO, which aims to reduce the socioeconomic vulnerability of targeted households, consists of seven indicators. Indicators L1, L2, and L4 are USDOL common indicators for livelihoods that measure livelihood, employment, and economic strengthening services. OTC 2 measures increases in household assets while OTP measures the number of households with at least one member trained in job skills. OTC 3 and OTP 3 measure the percent of households with one member certified in child protection and the number of households with one member participating in child protection activities. Table 4 compares the achievements for October 2015 and October 2017 against the end of project targets.

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<sup>35</sup> Somos Tesoro Comprehensive Monitoring and Evaluation Plan, Revised, November 2017.

<sup>36</sup> While trainings are provided on a range of health and safety issues, miners only have to receive one training to be counted as “trained”.

**Table 4: Reduced Socioeconomic Vulnerability<sup>37</sup>**

Indicator	Achieved Oct. 2015	Achieved Oct. 2017	End of Project Target	Status
<b>IO 2. Target households with reduced socioeconomic vulnerability</b>				
L.1. Number of households receiving livelihood services	1,344	4,312	3,500	+812
L.2. Number of adults provided with employment services (by gender)	164	2,023	1,000	+1,023
L.4. Number of individuals provided with economic strengthening services (by gender)	1,349	3,698	2,500	+1,198
OTC 2. Percent of target households with increased assets	0%	0%	25%	NA
OTP 2. Number of target households with at least one member who has completed job skills training	0	540	1,000	-460
OTC 3. Percent of target households in which at least one adult member is certified in a program that contributes to improving the protection and welfare of children and adolescents	0	21%	15%	+6%
OTP 3. Number of target households in which at least one adult member participates in activities/programs/networks for the protection of children and adolescents	39	1,981	1,050	+931

At the time of the midterm evaluation, the project was significantly behind in achieving indicators targets for all seven indicators (October 2015). However, the end of project indicator targets at the time of the midterm evaluation were significantly higher than the current indicator targets shown in Table 4. The midterm evaluation report recommended reducing the number of targeted households and children and intensify livelihood activities. The reduction in the number households and children, along with an intensification strategy that is explained in detail in Section 3.4, are largely responsible for the project’s remarkable performance increases noted in Table 4.

From October 2015 to October 2017, the project managed to increase household livelihood services and employment and economic services for individuals from 1,344; 164; and 1,349 to 4,312; 2,023; and 3,698; respectively. Livelihood services include entrepreneurship programs, improved mine production, OSH trainings, linkages to micro-

<sup>37</sup> Source: Somos Tesoro Technical Progress Report, October 2017

savings programs, institutional service programs, and employment training. Employment services consist of mine formalization training, technical assistance visits to mines, job skills training including SENA supported training, and workshops on social services. Economic services, on the other hand, involve training on productive projects, household savings training, OSH training for gold panners and scrap miners, food security and nutrition training, and linking beneficiaries to other social support agencies. The gains in these indicator targets are impressive.

Table 4 shows a zero percent achievement for OTC 2. The project will not measure household assets until the endline survey schedule for June 2018. The CMEP categorizes assets according to human assets (increases in knowledge and learning), social assets (interpersonal relationships and support networks), financial assets (productive assets).

The output indicator, OTP 2, for household assets is households with at least one member participating in job skills training. To be counted, the person must complete training and receive a certificate. OTP 2 is lagging by about 45 percent. It should be noted, however, that the project is focusing less on job skills training due to the lack of formal job opportunities in many of the project areas. Instead, the project is focusing more on entrepreneurship and productive projects.

The other issue that the evaluators noted is that OTC 2 does not include any related outputs and output indicators to measure the other services provided to increase household assets such productive projects, household savings, food security and nutrition, and vocational orientation and training. While the CMEP document provides an operational definition of household assets, the performance monitoring plan does not include indicators to measure these services.<sup>38</sup>

OTC 3 and OTP 3 indicators aim to measure child protection. Both indicators have achieved dramatic increases since the midterm evaluation. The percent of households with at least one member certified in child protection programs increased from zero percent in October 2015 to 21 percent in October 2017, which represents a six percent increase over the target of 15 percent. The increase in the number of households with at least one adult member participating in child protection activities is even more dramatic. In October 2015, only 39 households had an adult participating in child protection services. The number increased to 1,981 by October 2017 or 931 more households than the target value of 1,050.

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<sup>38</sup> The CMEP document states that: “The project will utilize an asset-based approach, which emphasizes the importance of tangible and intangible assets. These include 1) Human assets refers to personal capacity, and can include both indigenous knowledge and acquired learning, such as physical and mental health, 2) Social assets: they refer to interpersonal relationships and 3) Financial assets are generally classified as productive assets and can be utilized in economic and non-economic exchanges in order to acquire resources.”

### 3.3.3. Child Labor Prevention and Child Protection Policies

Child labor prevention and child protection, which is implemented by FA, is the first of two policy IOs. The second policy IO is focused on the mining sector and is discussed in the next sub-section. This IO includes two outcomes and two related output indicators, which are presented in Table 5.

**Table 5: Progress of Public Policy Component<sup>39</sup>**

Indicator	Achieved Oct. 2015	Achieved Oct 2017	Target	Status
<b>IO 3. Target departments and municipalities with mechanisms for child protection and prevention of CLM</b>				
<b>OTC 4.</b> Number of target municipalities that include specific agreements about CLM in their council agendas/development plans.	0	8	6	+2
<b>OTP 4.</b> Number of coordination bodies working with the project in the target territories that adopt and implement actions suggested in the Technical Annex about CLM.	0	8	6	+2
<b>OTC 5.</b> Percent of staff from participating institutions trained by the project with increased technical capacity and knowledge on CLM for coordination, reporting, preventing and addressing CLM.	0%	74%	60%	+14%
<b>OTP 5.</b> Number of activities against CLM as a result of actions among agencies belonging to coordination bodies	0	8	6	+2

OTC 4 measures the extent to which municipal governments include CLM in their development plans with a concrete proposal to address CLM. The project aimed to have CLM included in six municipal development plans. It was able to include CLM in the development plans of the eight municipalities targeted by the project.

OTP 4, on the other hand, measures the extent to which municipal level coordinating committees adopt and implement the technical annex of ENETI, which is the *Route*. The municipal level committees are referred to as Interinstitutional Committees for the Eradication of Child Labor (CIETI) and generally consist of the following stakeholders: mayor’s office, sectorial secretaries, CIFWB’s zonal centers, labor inspectors, family commissions, *Families in Action*, *United Network*, child protection police, and non-governmental organizations (NGOs) that carry out actions around child labor in the municipalities.

<sup>39</sup> Source: Somos Tesoro Technical Progress Report, October 2017



While the project set a target of six CIETIs that would adopt and implement the *Route*, it reported in the September 2017 TPR that all eight of the project’s municipalities in Antioquia and Boyacá adopted the *Route* into their action plans. However, based on evidence gathered by the evaluators, the CIETIs are actually in the process of piloting the *Route*. It should be noted that the project views the implementation of the *Route* as an on-going activity that is the responsibility of the CIETIs.

OCT 5 intends to measure increased capacity and knowledge of municipal government officials participating in the project. To measure capacity and knowledge, the project administered a pre and post-test that assesses CLM, child labor reporting protocols, and actions to prevent child labor. The project, which established an indicator target threshold of 60 percent, reported that 74 percent of municipal government officials increased capacity and knowledge based on the pre and post testing.

OTP 5 measures the level of collaboration between the key stakeholders at the municipality level. The project reported that the committees and their stakeholders in all eight of the target municipalities have collaborated in developing the *Route* and are in the process of implementing it. The evaluators can confirm, based on interviews, the municipal governments are in the process of implementing several CLM activities related to the *Route*.

### 3.3.4. Institutional Mechanisms to Eliminate CLM

Institutional mechanisms to eliminate CLM, which is implemented by ARM, is the second policy IO. It consists of one outcome indicator and three related output indicators. The indicators and their achievements are shown in Table 6.

**Table 6: Institutional Mechanisms to Eliminate CLM<sup>40</sup>**

Indicator	Achieved Oct. 2015	Achieved Oct. 2017	End of Project Target	Status
<b>IO 4. Institutional mechanisms in place that contribute to the elimination of CLM</b>				
<b>OTC 6.</b> Percent of labor inspection and mining safety inspection visits in two pilot municipalities targeted by the project that are carried out and monitored in accordance with OSH and mining safety standards and the elimination of CLM in Colombian law.	0%	50%	20%	+30%
<b>OTP 6.</b> Number of events in which the recommendations documented regarding policy, mechanisms for formalization, and the regulation of OSH and CLM are disseminated	0	3	2	+1

<sup>40</sup> Source: Somos Tesoro Technical Progress Report, October 2017

Indicator	Achieved Oct. 2015	Achieved Oct. 2017	End of Project Target	Status
<b>OTP 7.</b> Number of ASM tools on formalization, development and oversight that are delivered to mining and labor authorities MINMINAS, ANM and Ministry of Labor	0	2	4	-2
<b>OTP 8.</b> Number of government officials from public bodies at the national and local levels trained in methodologies in OSH and the elimination of CLM	0	62	30	+32

The project set a target of 20 percent for OTC 6 and reported that 50 percent of labor and mine safety inspections in the two pilot municipalities were carried out in accordance with mining safety standards and the elimination of CLM in Colombian law. Actually, this indicator deserves a deeper explanation, which is provided below.

The project initially intended to develop mine safety inspection tools and train inspectors in their use for two pilot municipalities. The indicator was designed to calculate the percent of the inspections that were conducted using the tools in an appropriate manner. After project implementation started, the project realized it did not have a proper mechanism to determine whether the inspectors inspected ASMs and how they inspected them, which rendered the indicator irrelevant.

To address this situation, the project trained a group of inspectors, government mine officials, and miners in the use of the mine safety inspection tool, which is one of the tools noted under OTP 7. The group visited two mines in Sogamoso to test the tool. The project reported this activity as an inspection that met the OSH standards in one of the two pilot municipalities, thus the 50 percent achievement.

Regarding OTP 6, the project conducted three events to disseminate information about OSH and CLM. These include a forum on the formalization of ASM in Colombia, a panel discussion on OSH in ASM in Colombia, and a workshop with public officials to disseminate mining inspection tools. The workshop with public officials to disseminate mining tools is the training event described under OTC 6 where inspectors, government mine officials, and miners were trained to use the SGSST guide, which is one of the tools for OTP 7.

The indicator target for OTP 7 is four ASM mine formalization tools. To date, the project has managed to develop two tools that include the *Technical Guide for the Implementation of the SGSST for Small-Scale Mining* and the *Guide for Responsible Management and Alternatives for the Elimination of Mercury in Work Environments of the Mining Sector*. As noted above, the SGSST guide is the tool the project used under OTC 6.

OTP 8 aims to train 30 government officials at the national and municipal levels on OSH and CLM issues. The project significantly exceeded the target by training 62 government officials in a mine safety and hygiene course using a virtual training format. The project

reported that it is in the process of preparing another training course for public officials on the formalization process that will be conducted and reported on in the March 2018 TPR.

### 3.3.5. Increased Access to Quality Education

The project’s education IO focuses on increased opportunities for children and adolescents to access quality education. This is measured by attendance (OTC 7), and USDOL’s common indicators, which include the number of high-risk children who are provided formal, non-formal, and vocational education services (E1-E4). There are three other output indicators to measure education quality and one outcome indicator to measure drop-out rates. Table 7 shows the indicators, target values and achievements.

**Table 7: Progress of Education Component<sup>41</sup>**

Indicator	Achieved Oct. 2015	Achieved Oct. 2017	Target	Status
<b>IO 5. Children and adolescents at risk of or engaged in CL with increased opportunities to access quality education</b>				
<b>OTC 7.</b> Percent of target children that regularly attended any form of education during the past six (6) months, with 75% attendance in their education program over the six-month reporting period	91%	96%	85%	+13%
<b>E.1.</b> Number of children engaged in or at high risk of entering child labor who are provided education or vocational services	6,011	13,003	13,000	+3
<b>E.2.</b> Number of children engaged in or at high risk of entering child labor who are provided formal education services (by sex and age)	5,992	12,105	12,000	+105
<b>E.3.</b> Number of children engaged in or at high risk of entering child labor who are provided non-formal education services (by sex and age)	23	703	500	+203
<b>E.4.</b> Number of children engaged in or at high risk of entering child labor who are provided vocational services	0	500	500	100%
<b>OTC 8.</b> Percent of children and adolescent beneficiaries that drop out of the education system	.6%	.46%	NA	NA
<b>OTP 9.</b> Percent of educational establishments whose staff is trained to use the Pazalobien methodology to protect the rights of children and adolescents	0%	98%	90%	+8%

<sup>41</sup> Source: Somos Tesoro Technical Progress Report, October 2017

Indicator	Achieved Oct. 2015	Achieved Oct. 2017	Target	Status
<b>OTP 10.</b> Percent of out-of-school beneficiaries who are integrated into the school system	0	0%	5%	-5%
<b>OTP 11.</b> Number of educational establishments with improved equipment	0	16	20	-4

At the time of the midterm evaluation, the project was also significantly behind in achieving indicators targets for eight of the nine education indicators (October 2015). Like the livelihood indicator targets, the education indicator targets at the time of the midterm evaluation were significantly higher than the current ones shown in Table 7. The midterm evaluation report recommended reducing the number of children and adolescent beneficiaries and intensify the education activities, which helps explain the project's notable performance increases noted in Table 7. The number of children receiving educational and vocational services was reduced from 19,566 to 13,000.

OTC 7 measures attendance of any form of education activity. The percent of children regularly attending education services increased from 91 percent in October 2015 to 96 percent in October 2017. Education attendance was and remains quite high. On the other hand, E1-4 measures kinds of educational services provided to children at risk for child labor: education or vocational, formal education, non-formal education, and vocational. The numbers of children receiving these services increased from 6,011; 5,992; 23, and 0 in October 2015 to 13,003; 12,105; 703; and 500 in October 2017, respectively. All four indicator target values have been achieved. These are truly remarkable performance increases.

OTC 8 measures the percent of children that drop out of school. In October 2015, the project reported that .6 percent of children enrolled in schools dropped out of school. The percent decreased to .46 percent in October 2017. The project did not set a target for this particular indicator. Output indicators OTP 9, OTP 10, and OTP 11 support OTC 8. OTP 9 measures the percent of schools where at least 60 percent of teachers have been trained in the PAZalobien methodology to protect children's rights. The project reported that in 98 percent of the schools, teachers have been trained in PAZalobien and how to use the methodology to protect children's rights. Although, based on data from FMS, only 25 percent of these teachers are using the methodology, FMS considers this an accomplishment since using PAZalobien methodologies is voluntary.

OTP 10 measures the reintegration of children who had dropped out of school. The project set the indicator target at five percent for each reporting period. While the project reported a 13 percent integration rate in April 2017, the integration rate in October 2017 was zero percent, the same as in October 2015, which was the time of the midterm evaluation. The issue of reintegration of school drop outs is discussed in more detail in Section 3.4. under the effectiveness of the strategy for out-of-school children.

OTP 11 measures the number of schools with improved equipment for sports, art, and culture as well as painted school building facades with child rights messages. The project targeted 20 of the 80 schools participating in the project for equipment improvements and achieved improvements in 16 schools. The evaluators asked project staff how the indicator target of 20 schools was established. Staff explained that the project had a line item amount in the budget for equipment purchases and other improvements and, based on this amount, decided that the project could provide equipment to 20 schools.

### **3.4. Effectiveness of Project Strategies**

This section examines the effectiveness of the project’s strategies and related mechanisms (Evaluation Questions #2, #4, #5, #6, #7, and #14). First, the effectiveness of the project’s core strategies related to the five IOs are assessed. These include mine formalization, livelihood security, the *Route*, mine formalization and OSH guides, and the PAZalobien methodology. In addition, the project’s strategies to create safe environments for children and to address out-of-school children as well as the project’s communication strategy are assessed. Next, the project’s intensification strategy, coordination and collaboration with stakeholders, and the coordinating committee are reviewed and discussed.

#### **3.4.1. Effectiveness of Project Strategies**

##### **Mine Formalization**

The project’s ASM formalization component focuses on training on responsible mining, providing vocational services for youth, and advising and supporting mining units in the process of mine formalization and health and safety requirements. To achieve formalization, mines must comply with all mining regulations, which include the prohibition of child labor. The weekly OSH trainings that are given at the mining site and the consultation visits from project mine safety experts allow for further opportunities to discuss child labor issues.

As discussed in Section 3.3, the project has had to modify its original strategy that could affect its effectiveness. The reasons included the 2001 mining law 685 that required ASMs to meet all formalization criteria so the operate legally, the structure of the mining concession in El Bagre and Zaragoza that forced the project to work only with gold panners, and the precarious nature of sub-contracts in Segovia and Remedios that has limited the number of mines the project can legally work with on formalization. The project reduced the number of mines it is working with on the formalization from 125 to 80, 69 of which are located in Boyacá.

The Secretary of Mining in El Bagre told the evaluator that the project has been highly effective in creating awareness about the health risk of using mercury as well as the risks to children working in mining activities. He expressed appreciation for the mercury test that the project supported to determine unsafe mercury levels in humans as well as water, soil, and fish. He said the test was important because it provided evidence to help develop and target mercury awareness raising campaigns for subsistence gold miners.

One of the evaluators visited a group of gold panners in La Sardina who are currently involved in one of the productive projects supported by the project. The women received training on OSH including the health risks associated with mercury and the use of a plant known as “*balsos*” as a safe alternative to mercury. The women appeared to be well informed about the adverse effects of mercury as well as why children should not be involved in mining activities. The women told the evaluator that they are not currently involved in gold panning because there is a shortage of gold. Apparently, the government is enforcing illegal mining activities including the use of drudges and small cranes used to dig and free up rocks and gravel that could contain gold particles. Although the women are not currently panning for gold, one woman explained that she is and will always be a gold miner and if someone discovers gold, she would go immediately and start panning.

One of the evaluators visited two mines in Segovia. In one mine, the mine manager told the evaluator that the number of workers had decreased considerably due to shortages of gold. In the second mine, the number of workers had remained stable at around 40 persons. In both cases, mine managers and workers commented that Somos Tesoro provided valuable support to resolve health and safety issues since other institutions in the area do not provide OSH services.

The evaluators visited three coal mines located in Gámeza, Tópaga, and Sogamoso, located in Boyacá. The miners told the evaluators that they believe the training and technical assistance provided by the project is valuable and has helped them improve mine management. According to the owner of the Buena Vista mine in Gámeza, the project has helped him make important health and safety improvements. It also helped him formalize his employees who now have contracts and are now registered with the government’s social security system. The other evaluator observed important environmental improvements in mines in Tópaga and Sogamoso (e.g. El Triunfo and El Carbonera) that could be considered best practices. These include creating green areas and improved waste water disposal.

Miners that participated in the training told the evaluators that they improved their knowledge about health and safety risks associated with coal mining and how to take preventative measures. They also noted that they learned about child labor and why children should not work in mines. One issue that miners mentioned in at least two mines is that the trainers should use simpler language because some of the technical terms and language is hard for some miners to understand. These miners also suggested that the trainers should use

more dynamic and interactive methods during training. One miner explained that talks on mine formalization is boring. He said that miners would benefit more from training if they could practice what the training is trying to teach.<sup>42</sup>

The formalization component has several creative activities to raise awareness on CLM. Among these are the exchange among miners who have completed the formalization process and a contest among mining units on the most innovative steps taken to improve working conditions during the process of mine formalization. While project staff explained these activities, the evaluators did not have the opportunity to discuss them with miners who participated and are not able to comment on their effectiveness.

MINMINAS officials believe the project has been effective in helping ASMs address OSH issues and improve overall mine management. One official told the evaluator during an interview that MINMINAS realizes that the mine formalization criteria is difficult if not impossible for most ASMs to fully meet. Rather, MINMINAS views the formalization process as continuous improvement that results in fewer accidents and fines and increased productivity. This official also noted that he observed

One of the evaluators visited two mines in Boyacá that are implementing corporate social responsibility initiatives that provides important services to communities. In the El Triunfo mine, the owner collaborated with the Tópaga municipal government and the project to install a cyber café. While the project initially provided resources as a result of an innovation contest, the mine owner is now paying for the cyber café that provides access to the internet for children and adolescents to do homework assignments. In the case of the La Carbonera mine, the owner provides a training facility and soccer field to miners from near-by mines as well as the community. Somos Tesoro provided trees and plants to reforest the surrounding area. The evaluator noted that these kinds of initiatives appear to have improved relations between the mines and communities.

first hand many improvements coal mines in Boyacá have made such as compliance with OSH norms and record keeping. Another official told the evaluator that mine owners should begin to view their mining operations as small businesses that they can invest in and grow rather than as merely subsistence activities.

## **Livelihood Security**

The project’s livelihoods strategy is designed to improve socioeconomic resilience. The strategy includes increases in mine productivity through the mine formalization strategy implemented by ARM and a range of livelihood related interventions implemented by Pact. These include entrepreneurship training and productive projects, job skills training, household savings, protective environments for children in mining areas, and linkages to social programs. While the productive projects have become an important livelihood strengthening activity, the Somos Tesoro project director considers the livelihood strategy to be broader than the productive projects.

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<sup>42</sup> It should be noted that, according to the ARM mining component coordinator, ARM recently hired a trainer specializing in pedagogy. She has started to design and deliver trainings that are more dynamic and participatory.

The evaluators actually found evidence that the mine formalization process is helping increase production and income in one of the mines they visited. The owner of El Triunfo mine in Tópaga explained that he increased production more than four-fold from 150 tons to 600 tons as a result from implementing improved mine management practices. He intends to begin a night shift with five more workers to continue to increase production. The evaluators believe the project should document this and other examples where mine productivity has increased as a result of the formalization process and determine whether increased production benefited the miners.

*Mine Productivity.* Through the mine formalization process, the project intends to improve compliance with OSH standards and improve mine management processes. In turn, improved compliance and mine management should reduce mine-related accidents, illnesses, and fines while increasing overall productivity. Mine owners opined that compliance with OSH standards and improved mine management practices were helping to improve productivity.

*Entrepreneurship and productive projects.* At the time of the midterm evaluation, the project focused primarily on entrepreneurship training. After the midterm evaluation, the project developed about nine income-generating or productive projects as pilots to determine if these kinds of projects would be feasible. At the time of the final evaluation, the number of pilot productive projects had grown to 42 benefiting approximately 275 households.

The evaluators visited 12 productive projects including eight in Antioquia and four in Boyacá. These included fish, vegetable gardens, pineapples, bread products, arepas and handicrafts projects.<sup>43, 44</sup> In the majority of the cases, the project provided start-up capital for the projects and continues to provide key inputs such as fish food, corn flour for arepas, materials for handicrafts, and agriculture inputs. In three of these projects, the groups integrated a savings and loan component where income from the sale of product is lent to group members. According to a SENA representative in El Bagre, SENA collaborated with the project to train 1,600 persons on several topics including fish culture, entrepreneurship, home gardens, and leadership.

Overall, the productive project group members value the projects. In El Bagre and Zaragoza, the productive projects could potentially provide income to gold panners who have stopped mining activities due to a shortage of surface gold. In Boyacá, the productive projects could provide supplemental income to coal miners and brick makers. Several of the women who were interviewed told the evaluators that the productive projects changed their lives. They said they are no longer only housewives because they have a business. This has helped increase their confidence and outlook on life.

The evaluators also noted that the productive projects are at a critical stage in development. While several of the projects show promise, none of the projects that the evaluation team visited have reached full financial sustainability. As noted previously, the project is

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<sup>43</sup> The projects involve producing the product (e.g. fish, vegetables, pineapples, bread, arepas and handicrafts) and selling them to local markets/consumers.

<sup>44</sup> Arepa is a sweet or unsweet corn pancake.



providing key inputs for many of the projects. During the interviews, group members did not know how much it would cost to buy the inputs, how much the productive project might generate in profit, and whether the profit would be sufficient for all the group members. Only one productive group reported that they were receiving income from the project. Although the group members told the evaluators they had received basic accounting training, they said that they would like to have more training. In addition, the evaluators believe that all of the productive groups would benefit from having a basic business plan with costs and earnings projections as well as access to more markets.

Another factor that could affect the financial viability of the productive projects is high turnover rate of the members. This is especially true for an arepa factory in Segovia and vegetable gardens in Vado Castro in Tópaga and Buena Vista in Morcá. For example, one of the members of the arepa factory recently withdrew because she was not receiving an income and the others told the evaluator that they are worried that the arepa factory is losing money. Several members of the vegetable garden group in Vado Castro dropped out of the project before the first harvest. In Buena Vista, the head of the vegetable garden group explained that the group started with nine members but six are in the process of dropping out because they are not receiving any income. It appears that the three remaining members are committed to the continuing with the project.

Overall, the evaluators believe that many of the productive projects they visited show promise to increase household assets but need to be strengthened. This is discussed in more detail under conclusions and as a recommendation.

*Job skills training.* The project has collaborated with SENA to provide job searching skills to target households. The evaluators discussed the effectiveness of the job skills activities with the Pact livelihoods field team in Boyacá. The team explained that job skills training has not been effective because there are very few employment opportunities in the area. According to the field team, households prefer the entrepreneurship training and productive projects. The evaluators could not find evidence that the job skills training and support resulted in increases in employment for those who participated in the training.

*Household savings.* The project trains household member in savings that range from savings in the use of public services, such as water, energy, and mobile phones, to the moderate use and maintenance of domestic appliances, so that they have a longer life. The training also encourages participants to think about the risks of getting indebted with third party loan sharks and to better plan on how to use the money. During interviews with the productive project groups in El Bagre, the evaluator asked what other Somos Tesoro activities in which the group participated. Several group members mentioned the household savings trainings. They told the evaluators that they found the training interesting and learned about how to make smart purchasing decisions and how to better manage household finances. During the interviews, however, the productive group members were not able to provide concrete examples of how they used the information to save money. In Segovia, on the other hand, members of a garden project told the evaluator that after two harvests they saved enough to provide COP 65,000 per member to cover basic needs during a mining strike that lasted 40 days.

**The Route.** The *Route*, which is the principal achievement under IO 3, is essentially a six-step process to help guide public officials and social organizations that comprise the CIETIs. Specifically, the *Route* provides guidance on assessing child labor in the municipalities, defining risk criteria for CLM, developing interventions, and reporting child labor cases. The steps include: (1) municipal assessments, (2) risk criteria, (3) municipal mechanisms, (4) protocols for detection and reporting of child labor cases, (5) strategies to strengthen coordination, (6) strategies to prevent and withdraw children and adolescents from child labor.

The project has managed to ensure that the *Route* is included as a technical annex to ENETI. It is also included in the development plans for the eight target municipalities. While these are important achievements, the participatory way in which the *Route* was developed is just as important. In interviews with national government agencies such as MINMINAS, MINTRABAJO, and ICBF, officials told the evaluators that the *Route* was developed in a highly consultative and participatory manner that has created a sense of ownership among these key government agencies. MINTRABAJO officials believe the *Route* will provide the necessary architecture and serve as an important tool for departmental and municipal governments to address CLM. They also opined that the *Route* should be expanded beyond the eight municipalities targeted by the Somos Tesoro project.

Municipal government officials and those agencies comprising the CIETIs also commented on the participatory way in which the *Route* was developed. These officials believe that the project made a wise choice to build the capacity of CIETIs to implement the *Route* even though some require further strengthening. Two of the mayor’s interviewed have shown a high degree of support for Somos Tesoro and the *Route*. For example, the mayor of Segovia told an evaluator during an interview that he has funds in the budget to implement the *Route* and intends to do so once the project ends. He intends to ensure children in Segovia are involved in either sports or cultural activities.

The mayors of Tópaga and Mongua have also shown a high degree of commitment to implement child labor prevention activities. The mayor of Tópaga supported an entrepreneur fair and purchased four computers for a community internet café mentioned previously. The mayor of Mongua is supporting a musical group by paying the salaries of the music teachers.

The national and local level stakeholders also noted a variety of challenges to the fully implement of the *Route*. The challenge most frequently noted by national stakeholders is the 2018 presidential elections. MINTRABAJO officials told the evaluation team that the elections would result in many changes of both civil servants and elected officials.<sup>45</sup> Although the ENATI is official public policy and cannot be changed, labor ministry officials believe the personnel changes will result in new civil servants and elected officials that will not be familiar with the Somos Tesoro project and the *Route*. The project should

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<sup>45</sup> It is common practice in Colombia for new administrations to change civil servants.

continue with its plans to orient and train new officials at both the national and municipal levels.

The evaluators also noted potential challenges to implementing the *Route* at the municipal level. These include weak CIETIs, lack of resources to implement child labor prevention and eradication activities, and entrenched attitudes regarding child labor. The mayors in El Bagre, Segovia Tópaga, and Mongua told the evaluators that they have limited funds to implement activities related to the *Route*. They noted that once the Somos Tesoro project ends, they would not have funds to continue to fund child labor prevention and eradication activities. One mayor said that “the central government tells us what to implement but does not provide additional resources to implement it.”

Three mayors told an evaluator that, thanks to the Somos Tesoro project, children no longer work in mines. This comment surprised the evaluators since at least one youth in a focus group discussion told the evaluators that he works in mining activities to earn additional income. The Somos Tesoro field teams also noted that while awareness regarding child labor has significantly improved, some youth still work in mining activities. One possible explanation for why the mayors believe children no longer work in mines is that there is a prevailing perception that when youth older than 12 years of age work, it is not child labor. This perception was documented in the perception study about CLM funded and published by Somos Tesoro.<sup>46</sup>

In addition to developing the *Route* and strengthening CIETIs to implement it, FA collaborated with NGOs to implement eight CLM prevention projects in the target municipalities. The projects focused on the positive use of free time as well as raising awareness CLM and the associated risks. These projects are benefiting 700 children and adolescents and their families. The mayor of Mongua told one of the evaluators that the project in his municipality focuses on music education that led to the formation of a band. Somos Tesoro provided the musical instruments to approximately 30 adolescents while the mayor’s office is paying the music teachers. The mayor told the evaluator that he would like to convert the local library into a music school but would need funds from Somos Tesoro to create the school and pay more teachers.

## **Mine Formalization and OSH Tools**

The mine formalization and OSH tools strategy supports IO 4 and is implemented by ARM. ARM develops the mine formalization and OSH tools develops with input and participation from key players in the mining sector and disseminates them to stakeholders. ARM also trains stakeholder in their use. MINMINAS officials told the evaluators that the guides and other tools that the project has developed and disseminated are important contributions to ASMs and the formalization process. One official specifically noted that the virtual course

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<sup>46</sup> Estudio de Percepción Sobre el Trabajo Infantil en el Sector Minero de Colombia, Somos Tesoro, February, 2017.

on Mine Health and Safety was effective in helping participants from different government agencies understand the roles and responsibilities in the mine formalization process.

The Director of Occupational Health and Safety at the MINTRABAJO collaborated with the project on the development of a guide on OSH and the management of mercury. He explained that before the Somos Tesoro project, he did not have a relationship with ASMs and did not know how to reach them. Collaboration with the project helped open the door to the sector and reach ASMs with important training. He also noted that he participated in the visit to Peru to review and discuss mining regulations, norms, and policies including child labor, mercury, mine formalization, and OSH.<sup>47</sup> He opined that the visit was not very useful because Colombia had more advanced mining laws, regulations, and policies than Peru. However, ARM developed an extensive report on the exchange activities and lessons that included a daily evaluation to assess participant satisfaction. The six participants from Colombia rated the cross-visit as either highly or very highly satisfied<sup>48</sup>

### **PAZalobien Methodology**

The PAZalobien methodology, which was developed by FMS, is based on the use of art and games to develop students’ perspective regarding their rights as individuals, as well as their peace-building skills, life skills, and as citizens in training.<sup>49</sup> FMS adapted the PAZalobien methodology to fit within the framework of 16 one and a half hour sessions in formal classroom settings. In addition to the emphasis on peace-building skills and other important life skills, the curriculum has been enhanced to address child labor in mining issues. The USDOL project manager overseeing the project explained that one of the reasons that Pact decided to include PAZalobien in Somos Tesoro project proposal is because the methodology has been used to prevent child recruitment and supported by USAID and other agencies.<sup>50</sup> In addition, the Inter-American Development Bank (IDB) conducted an impact evaluation of the PAZalobien methodology in 2015 and found the methodology to be highly effective.<sup>51</sup>

The PAZalobien methodology is implemented in educational institutions within the project’s eight target municipalities that are characterized as having a majority of households that are dependent on mining and a majority of households whose incomes are below the poverty level. The PAZalobien facilitators provide training to the regular classroom teachers on the methodology and curriculum content, and then co-teach the curriculum. As of October 2017, the project had implemented the PAZalobien program in 80 educational establishments, reaching a total of 12,105 children and adolescents

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<sup>47</sup> According to the project director, ARM decided to visit Peru because a Peruvian mining company, Minera SOTRAMI, successfully addressed child labor in its mining sites in Santa Filomena.

<sup>48</sup> Memorias: Intercambio de experiencias y buenas prácticas entre funcionarios Colombia-Perú, Alliance for Responsible Mining, 2017

<sup>49</sup> <http://fundacionmisangre.org/en/tipo/education-for-peace/>

<sup>50</sup> <http://fundacionmisangre.org/en/>.

<sup>51</sup> Somos Tesoro Technical Progress Report, April 2017

The evaluators observed three different PAZalobien classroom sessions as well as an event organized and delivered by a youth group in Zaragoza’s central park to communicate child labor messages to people passing through the park. Students were engaged and interested. During one school visit, in El Bagre, students demonstrated the use of observational methods to increase awareness and solve problems. In other school visits, older students mentored younger students on the risks of child labor as well as the fundamental rights of all children.

The evaluators also interviewed school principals and conducted focus group discussions with teachers and adolescents. In general, school principals, teachers, and adolescents interviewed are pleased with the PAZalobien methodology. They believe the methodology is highly engaging and effective. Several teachers noted, however, that many teachers trained in the PAZalobien methodology do not use it because it represents an additional activity that adds to their workload. In fact, one school declined to participate in Somos Tesoro because the teacher’s union decided implementing PAZalobien added an unfair burden on teachers. The school principal, however, supported the project by facilitating linkages to the parent school and youth leaders so the project could work with these groups on PAZalobien activities and a school garden.

Some schools, however, implement PAZalobien under MEN’s civic education requirements. Several teachers also commented that their school principals are not fully committed to using PAZalobien, which caused delays in getting permission to conduct activities. In fact, in the eight target municipalities, FMS facilitators trained 492 teachers in the PAZalobien methodology. Of these 492 teachers, only 125 or 25 percent are implementing PAZalobien activities according to the FMS database.<sup>52</sup> While the evaluators considers 25 percent to be low, FMS considers 25 percent to be an achievement because teaching using PAZalobien methods is voluntary.

The evaluators conducted five focus group discussions with teachers in El Bagre, Zaragoza, Segovia, and Sogamoso. Below is a summary of paraphrases that describe their views of the PAZalobien methodology and its effectiveness.

- *It is an effective and fun way for children to learn.*
- *Students request us to use PAZalobien activities such as art, music, and games.*
- *I have noticed a decrease in conflicts between students when I use PAZalobien activities.*
- *We use PAZalobien methods to effectively teach other topics such as math, science, and history. It helps keep children interested and engaged.*
- *We also use PAZalobien methods in the parent schools. It increases the participation and interest of those parents who attend.*
- *Using PAZalobien activities has increased the level of interest of students that has helped decrease absenteeism.*

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<sup>52</sup> FMS maintains its institutional database. It includes data that FMS reports to Pact on certain educational indicators but also includes other data that it uses for its own reporting.

- *I have noticed that it has helped increase academic performance such as improved grades.*
- *We are using the PAZalobien methodology (El Bagre and Zaragoza) but CLM is not a problem now because there is a shortage of gold.*
- *The facilitators are still co-teaching, which we appreciate. However, we would learn more if we implemented activities by ourselves.*
- *I (school principal) have observed a major improvement in self-esteem among students participating in the PAZalobien activities.*

In addition, the evaluators conducted nine focus group discussions with adolescent students and youth groups in El Bagre, Zaragoza, Segovia, Remedios, Mongua, Tópaga, and Sogamoso. Following is a summary of paraphrases describing their views of PAZalobien methods and activities.

- *It is a fun way to communicate information using singing, dancing, and art.*
- *It taught me how to manage pressure and difficult situations.*
- *I learned how to work in a group like teamwork.*
- *My class really enjoys PAZalobien activities but our teacher seldom uses them.*
- *I still work in the mines in my spare time because I like to earn extra money so I can buy things that I enjoy.*
- *The PAZalobien activities have helped me increase my confidence.*
- *I have noticed an improvement in attitude about child labor among children and their parents.*
- *Not all of the teachers trained in PAZalobien use it in my school.*
- *PAZalobien has helped me set goals and give me an idea of what I have to do to achieve them.*
- *I learned to communicate messages about child labor through radio, theatre, art, and music.*

A particular challenge mentioned by the PAZalobien facilitators is implementing the methodology in rural areas. The majority of schools where PAZalobien is implemented are located in urban areas. The facilitators told one of the evaluators during an interview that reaching rural areas is important because child labor is more prevalent. The facilitators listed several reasons for why they have not been able to expand to rural areas, which included a shortage of facilitators, poor roads, long distances between communities and their schools, and limited spaces to organize events such as youth clubs and sports facilities. The

One of the evaluators interviewed a small group of youth in El Bagre who had participated in a workshop where they developed their life projects. The youth explained that they set long and short-term goals and developed strategies to reach the goals. One of the youth is a young mother who dropped out of school. She told the evaluator that one of her life project goals is to return to and finish secondary school and then study at the local university.

In Segovia, one youth said that before participating in PAZalobien activities he worked in construction and did not study. He told the evaluator that “I still have to work, but now I attend night classes.” Another youth in Tópaga said that after her father died in a mining accident, she felt hopeless. She explained that after participating in PAZalobien activities, she became motivated and would like to become a mine engineer.

project director also noted that working in rural some areas is a safety threat because of the presence of illegal armed groups and that traveling to rural areas is difficult and expensive due to the lack of transportation.

FMS also uses the PAZalobien methodology in vocational workshops to provide skills to youth so they continue to study and prepare for a viable career. These workshops are dynamic and focus on helping youth understand vocational options and develop life projects.

## Safe and Protective Environments

Community mothers are “leaders” who provide child care to poor and vulnerable families in the community under a program sponsored by ICBF. One of the evaluators interviewed a community mother in Tópaga. She confirmed that 14 community mothers and their assistants received training in protective environments for children, child nutrition, food and personal hygiene, and the importance of education. She noted that the training was effective and valuable for the community mothers. She said that Somos Tesoro is the only organization that has provided training to community mothers. She further commented that the community members never received training from ICBF or the municipal government.

The safe and protective environments strategy is implemented under IO 2, reducing household vulnerability. The project’s livelihood and mine formalization field teams conduct training for households, including community mothers, on social vulnerability and protective environments for children and adolescents. These activities are carried out in close coordination with municipal governments and agencies such as ICBF.

FMS is using the PAZalobien methodology to work with parents to raise their awareness on social issues affecting children, including child labor in mining, and to help create protective environments for children and adolescents. This is typically done during parent schools by FMS and Pact facilitators. Both teachers and the PAZalobien facilitators attribute increased attendance at parent schools to the use of the PAZalobien methodology. Nevertheless, parent school attendance appears to average about 20 percent in those schools visited by the evaluators. A couple of school principals explained that attending parent schools is difficult for many parents because of the long distances they have to travel and work demands.

“Parent Schools aim to integrate parents with the educational community, mainly teachers, students and managers, to think in common, exchange experiences and seek alternative solutions to the problems that arise in the formation of sons and daughters, the recovery of values, the strengthening of adequate instruments in study techniques and the communication and integration of the family”.  
<https://www.mineduacion.gov.co/observatorio/1722/article-283389.html>

It should be noted that the project conducted a diagnostic study to determine low attendance of parents or other relevant adults that was reported in the October 2016 TPR. The study identified contributing factors to low attendance to include women heads of households; children in the care of family members or others (grandparents, uncles, neighbors, etc.); employment status (working parents in rural areas in mining, who tend to be nomadic families); disinterest in extracurricular activities of the children; lack of affection and



support in parenting; domestic violence and / or child and gender abuse; and low educational levels.<sup>53</sup>

## **Out-of-School Children**

The strategy to address out-of-school youth is implemented under the education objective, IO 5. The schools are typically the early warning system to identify when children stop attending classes. The project is working with schools to develop and use tools to register drop outs and conduct home visits to find out why children stopped attending classes. When available, school psychologists participate in the verification of cases of children and adolescents at risk of child labor who are reported through the *ficha reloj*.<sup>54</sup> After the data is validated, they are reported to the CIETIs who provide follow up.

During interviews with school principals and teachers, the evaluators asked how effective the out-of-school strategy was in identifying and convincing parents to send their children back to school. School officials explained the process they follow when a child stops attending classes, which is visit the child’s home to talk to the parents. If the parents decide not to send their child back to school, the school reports the drop out to the child protection official in the municipal government. However, several school officials that were interviewed did not report any recent cases of children dropping out of school.

## **Communication Strategy**

The Somos Tesoro communication strategy includes three main components; strategic leadership in the consortium, dissemination of information, and social change.<sup>55</sup> These are discussed below.

*Strategic Leadership in the Consortium.* This component intends to ensure that communication within the project and communication to external audiences is consistent and well-coordinated. Key approaches in this component includes an over strategic plan for communication, an agreement among consortium members regarding the ground rules for communication, communication guidelines for the field teams to ensure consistency, institutional media, and what the project refers to as Somos Tesoro identity that is similar to branding and how it is communicated. This component also includes an internal communication mechanism using WhatsApp where field teams and other project staff and partners can share information about the project.

*Dissemination of Information.* The project has utilized its website and social media networks (Facebook and Twitter) to disseminate information about the project objectives and progress, and raise awareness through the publication of articles, short documentaries and personal stories regarding CLM. The project’s website has succinct information

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<sup>53</sup> Somos Tesoro Technical Progress Report, October 2016

<sup>54</sup> Ficha reloj is an activity recall tool used to determine a child’s work status.

<sup>55</sup> Please refer to the Somos Tesoro website to review a complete set of project resource and communication materials and publications: <http://www.somostesoro.org/sobre-nosotros>



regarding project objectives, strategies and each of the project partners as well as a series of short research articles, documentaries and personal stories to better understand the complex social, political, economic and environmental issues facing artisanal and small-scale mining in Colombia and its communities.

*Social Change.* The social change component consists of a variety of communication campaigns and strengthening activities for youth groups so they can effectively participate in communication medias. The communication campaigns included the following:

- Ask yourself (Pregúntate)
- CLM perception study
- Everything has its moment (Todo tiene su momento)
- To conquer the world (Para conquistar el mundo)
- Wearing the helmet (Me pongo el casco)
- *For my family and myself, I take care of myself (Por mi familia y por mi, yo me cuido)*

The activities to strengthen youth groups in media include a collaboration with the Ministry of Culture to teach youth in how to develop viable projects that they can sell to different media, radio and video courses, photography courses, and video festivals. One of the evaluators interviewed representatives from the Ministry of Culture that organized and delivered the courses. An initial assessment of the various medias was conducted and, based on the assessment, three courses on video production were developed and delivered to audiences that ranged from 14 to 50 years of age. The theme was CLM. One of the groups from Boyacá won a video production competition sponsored by the Ministry of Culture. Ministry representatives told the evaluator that the objective of the courses was to show participants that they can earn a living by developing and selling media projects. He noted that the Ministry of Culture was pleased with the collaboration but would like to see more of a focus on entrepreneurship in any future collaboration.

The other evaluator interviewed youth in Tópaga who participated in the Ministry of Culture workshops. These youths showed the evaluator a radio program they developed that was aired on a community radio station. They demonstrated a high degree of interest and motivation to develop videos for media outlets and said they would like to continue.

The evaluators asked national and municipal government stakeholders, project staff, and partners whether they thought the communication strategy was effective. The midterm evaluation noted problems with internal communication between partners and external communication with some stakeholders. For example, several government counterparts thought the project might be more effective at communicating what the project was doing with stakeholders.

The project addressed these concerns by improving internal communication mechanisms and developing a newsletter that is sent to key stakeholders. The project's efforts to address internal and external communications has been successful. Those stakeholders interviewed at the national and municipal levels believe that communication with Somos Tesoro is regular and effective. While these stakeholders believe that the project's use of

videos, photography, and other media to communicate child labor messages is highly creative and effective, some are concerned that these approaches are not sustainable because the production of these communication products require funding that government agencies do not have in their budgets. It was not clear to the evaluators if and how these government agencies would use communication products once the project ends.

The project staff and partners believe the communication strategy is effective. They are pleased with the effectiveness of internal communication including the coordination between the Somos Tesoro communication staff and the communication staff of the three partners. One partner told the evaluators that there is a high degree of synergy between Somos Tesoro communication activities and those of the partners. Partners also noted that the social change component and its use of videos, photography, art, and social media is especially effective.

An observation expressed by partners is that communication should have been a stand-alone objective and an integral part of the project’s theory of change at the initial project design stage. The project’s partners explained that effective communication strategies are critical in the mining sector given the mining culture in Colombia and strongly embedded beliefs. One partner suggested that any project working with the mining sector should begin with training project staff on the mining culture including belief systems and attitudes, especially how they affect child labor. Another partner opined that the field teams would have benefited from this kind of training as well as training on how to communicate with and deliver child labor messages to miners and mining households.

### **3.4.2. Intensification Strategy**

One of the key findings from the midterm evaluation was that the project had made very little progress in achieving its indicator targets for the livelihoods (IO 2) and education (IO 5) objectives. At midterm, the project had only achieved approximately 10 percent of its livelihood indicator targets and 20 percent of its education indicator targets. To help ensure that the project would achieve its targets, the midterm evaluation recommended reducing the number of target households and children and adolescent beneficiaries and increase efforts to achieve the livelihoods and education indicator targets.

In response to the midterm evaluation recommendations, the project requested to reclassify its direct and indirect beneficiaries that would reduce the number of direct beneficiary households from 9,783 to 3,500 and reduce the number of direct children and adolescent beneficiaries from 19,566 to 13,000. Followings is an extract taken from the Somos Tesoro Grant Modification No. 2, Section d, assignment of direct beneficiary targets:

*In the pre-award Q&A, Pact confirmed a beneficiary target of 19,566 children and 9,783 households based on the Red Unidos and SIRITI data for the proposed geographic areas. Whereas the Technical Proposal covered both Direct and Indirect Beneficiary Children and Adolescents and Households, as noted in Pact’s proposal in response to SCA 13-06 Question #4, the CMEP process classified them into direct beneficiaries, leading to a strategy of broad coverage both across and within communities. The draft midterm evaluation completed in April 2016 strongly*

*recommended the intensification of livelihoods and education services to a more focused group of direct beneficiaries. As a result, the project proposes to limit the number of direct beneficiaries to 3,500 households for provision of livelihoods services and 13,000 children for provision of education services. This will permit the project to intensify service provision during the remainder of the project period.<sup>56</sup>*

In addition, the project developed an intensification strategy for the livelihoods and education objectives that prioritized geographic areas and enhanced and increased the number of trainings and technical assistance efforts in these areas.<sup>57</sup> The intensification strategy is presented in a matrix that is organized by livelihood and education components. For each IO, the matrix compares activities in the left column from the original project document to more “intensified” activities in the right column. The “intensified” activities include prioritized geographic areas and increase in the amounts of technical assistance and training provided by the project. The following table shows an example of the intensification strategy for training miners.

**Table 8: Example from Somos Tesoro Intensification Strategy**

Project Document	Intensification Strategy
<b>1.9 Facilitate participation of miners in workshops targeting ASM leaders (SO 1.1, Output 1.1.1; SO 2.1, Output 2.1.1):</b> While the project had originally anticipated working with miners’ associations, on the ground realities revealed a more individualistic culture among miners, particularly among those who experienced barriers to association. As such, the CMEP process refocused the project’s efforts towards training miners who show leadership potential. In this activity, the project will target ASM leaders for several exchange visits within the same mining activity (gold or coal) in the target areas. Workshops during these exchange visits will identify good practices among participants as well as networks of collaboration among miners.	<b>1.9 (a) Enhanced exchange workshops adapted to mining contexts.</b> The project will adapt exchange workshops to the characteristics of specific mining communities. In Nordeste (Antioquia), miners will be invited to a workshop held in the city of Medellín or its surrounding areas, where they will be able to exchange experiences and train on formalization and OSH aspects. In Boyacá, title mining owners might visit exemplary mines advanced in the formalization process and participate in one or two experience exchange workshops with their counterparts.

As noted and discussed in Section 3.3, the project has experienced remarkable increases in indicator targets since the midterm evaluation. The project has achieved or is on track to achieve its indicator targets by the close of the project. In interviews with project staff and partners, the intensification strategy was consistently noted as the main reason the project was able to make such a dramatic turnaround. The former project director specifically credits the intensification strategy for improving collaboration among partners and the four project components. In the October 2016 TPR, she cites examples that include Pact and ARM working together to identify out-of-school children, Pact, FMS, and ARM collaborating to strengthen parent schools, and all of the project partners jointly planning

<sup>56</sup> Somos Tesoro Project Grant Modification No. 2, May 18, 2016.

<sup>57</sup> Somos Tesoro Intensification Program, Livelihoods and Education Components, March 8, 2017.

and implementing activities for global events such as the International Day Against Child Labor.<sup>58</sup>

An improvement in communication and collaboration among project staff and partners was also noted as an important factor in achieving the indicator factors. In addition, the USDOL project manager overseeing the project credited the effective communication between the project and USDOL as well as the communication between the project and key stakeholders that helped facilitate the changes in the intensification strategy.

### **3.4.3. Involvement of Key Stakeholders**

The project works with government stakeholders at national, departmental, and municipal levels. It also works with communities, civil society organizations, and the private sector. The effectiveness of the collaboration as well as potential is discussed below by key stakeholder group.

*National Government.* Over the life of the project, Somos Tesoro has attempted to involve and collaborate with MINMINAS, MINTRABAJO, ICBF, DPS, Ministry of Education (MEN), and the National Agency of Mines. The national government agencies that have consistently been active and involved with the project include the MINMINAS, MINTRABAJO, ICBF, and DPS, which are the agencies the evaluation team interviewed.

The project collaborates closely with MINMINAS on IO 1, IO 3, and IO 4. Ministry officials are pleased with the project because it helps support the mine formalization process and places special emphasis on OSH requirements. They are satisfied with the level of communication and collaboration and consider the relationship with ARM and Somos Tesoro to be very effective.

The project also collaborates closely with MINTRABAJO, especially on the development of the *Route*. The Director of Occupational Health and Safety collaborated with the project through ARM on the development on a guide for OSH and the management of mercury. All MINTRABAJO officials interviewed are satisfied with the level of collaboration and communication with the project. In particular, officials noted their involvement in the development of the *Route* that they consider highly appropriate and effective.

In addition, the project has developed a close working relationship with SENA, the National Training Service that is an autonomous government agency under MINTRABAJO. SENA has provided OSH training to miners, vocational training to members of target households, and technical training to group members of the productive projects. Both SENA and Somos Tesoro project staff believe that the various trainings have been appropriate and effective. The beneficiaries of the trainings that were interviewed also noted that the trainings they received were useful.

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<sup>58</sup> Somos Tesoro Technical Progress Report, October 2016.

One evaluator interviewed a SENA representative in its entrepreneurship center in El Bagre and another SENA representative in the SENA mining center in Sogamoso. He also explained that SENA provides the training free of charge and has funds to offer seed capital to start new businesses. However, individuals must join prearranged training programs and groups must request training in the kinds of topics SENA offers. The project played an important role in organizing its beneficiaries into groups so SENA could train them. The SENA representative said that it does not have the mandate nor the capacity to organize groups for training.

The SENA representative in El Bagre said that SENA collaborated with the project to train 1,600 persons on several topics including fish culture, entrepreneurship, home gardens, and leadership. The certificate courses ranged from 10 to 50 hours

The SENA representative in Sogamoso explained that the mining center is responsible for training miners in a variety of topics to increase productivity. He noted that SENA collaborated with the project to train 450 miners in 20 communities on OSH regulations, security, mine ventilation, and transportation. Before the collaboration with Somos Tesoro, SENA was not reaching small scale miners with its training programs. The project played an important role in organizing miners into groups so SENA could provide the training as well as paying SENA trainers transportation and per diem expenses. Although SENA has established a relationship with small miners, the representative told the evaluator that SENA cannot organize miners into groups and train them like the project did. He said the training has to be demand driven. As long as the miners can organize themselves and request training, SENA would be able to provide the training free of charge.

The project has collaborated with ICBF in a couple of key areas. The project’s livelihoods field team coordinated with the ICBF in Boyacá to provide livelihood workshops to vulnerable adult populations that are receiving services from ICBF. The more significant collaboration, however, has been the involvement of ICBF in the development and implementation of the *Route*. ICBF officials told one evaluator that the level of collaboration and coordination in developing the *Route* has been very effective and appreciated by ICBF.

The ICBF officials also expressed several concerns. According to one ICBF official, the majority of the relationship with Somos Tesoro has been with FA in developing the *Route*. She said ICBF should have been involved with all of the project components so it fully understood the project and what it is trying to achieve. On the other hand, the Somos Tesoro project director told the evaluators that ICBF has not attended key CC meetings when methodologies were shared and discussed and the agency has not yet provided clear feedback on suspected cases of child labor.

Another concern is that the child labor cases that are identified seem disconnected from the project interventions. ICBF officials told the evaluator that it should have been involved in defining the target population of households and children and adolescents. She further noted that the project partners appeared to have chosen beneficiaries based on their interventions. Instead, ICBF, other key government agencies, and the project partners should have worked together to first define the target population. Once defined, the partners

should have developed the most appropriate mix of interventions to have the intended impact.

The final concern expressed by the three ICBF officials interviewed pertains to one of the project’s principle data collection instruments, the *ficha reloj*. ICBF officials said the project made a mistake because it never requested MINTRABAJO and ICBF to review and approve the *ficha reloj*. ICBF officials also complained about the quality of the information provided, especially child labor cases. Apparently, the project recently reported 405 child labor cases to ICBF that it later adjusted to 50. ICBF officials believe the project needs to work closer with ICBF when developing and analyzing the list of child labor cases to ensure children on the list are truly having their rights violated.

In response to the ICBF concerns, the project director commented that while the project did not formally share the *ficha reloj* with ICBF, the project engaged ICBF during the development of the baseline survey. The project shared sharing earlier M&E tools with ICBF officials, which helped inform the strategy to select beneficiaries.

The evaluators interviewed two DPS officials. The officials told the evaluators that DPS had a relatively close relationship with Somos Tesoro when the project started. One official explained that DPS had implemented a CLM project in Antioquia and shared lessons with Somos Tesoro. He also said that he participated in the CMEP workshop as an expert resource. One concrete suggestion that he made was for Somos Tesoro to focus on rural schools rather than urban schools because he felt that, based on DPS experience, children in rural areas were not susceptible to CLM. Apparently, early in the life of the project, this DPS official was transferred to another agency and no one else in DPS showed interest in maintaining a relationship with the project. The former DPS official recently returned to DPS and is interested in re-establishing a relationship with Somos Tesoro.

The project considers the involvement of MEN as key given the project’s major focus on education. Despite repeated efforts, including a meeting between the USDOL project manager and MEN officials, the project has not been able to convince MEN to participate in the Coordinating Committee and other activities **as the project perception is that** child labor and after-school methodologies are not currently a priority for MEN.

*Municipal and Departmental Governments.* The project has collaborated with all eight

The evaluators believe that the level of community support was earned by the project, especially the field teams, over the life of the project. During interviews, field team members explained that when they initially entered communities, it was very difficult to discuss child labor due to a high level of mistrust and the belief that the government was going to take their children away. Over time, field teams gradually introduced the theme of child labor and built trust with communities to the point that child labor can be discussed and introduced into trainings on a regular basis. During site visits, the evaluators were able to observe the close relationships and high degree of trust the field teams developed with communities. Community members showed appreciation and respect for the field teams and their efforts.

target municipal governments, primarily through the mayor’s offices, CIETIs, and the development secretaries. As noted earlier, the project developed the *Route* using a highly consultative process in which municipal government agencies participated. In interviews with municipal governments, including four mayors and two CIETIs, the evaluators believe the project

established very strong relationships at the municipal level. Those interviewed said they were satisfied with the level of collaboration and communication with the project. Municipal government representatives in Segovia and Sogamoso opined that the project could have better prioritized and programmed its requests because they felt overwhelmed at times with what the some of the Somos Tesoro field teams were requesting.

*Civil Society.* The project collaborates with civil society organizations through the CIETIs. In addition to government agencies, the CIETI's include non-governmental organizations that are responsible for addressing child labor issues in the municipalities. The project is also collaborating with eight NGOs that competed for and won grants from the project to implement free time activities in the eight municipalities for children and adolescents. The activities include education, music, photography, dance, art, and sports. While the evaluators did not have the opportunity to visit the NGOs' activities, the mayor in Mongua described the music project and noted that he is paying the music professors.

*Community.* The project collaborates with communities in a variety of activities including mine formalization training, entrepreneurship training, child protection training, vocational orientation and training, household savings trainings, productive projects, nutrition and food security, youth clubs, and parent schools. The evaluators interviewed household members participating in many of these activities. Everyone that was interviewed commented that they had strong and constructive relationships with the project and appreciated the support they received. They spoke very highly of the Somos Tesoro field teams.

*Private Sector.* The CMEP defines the private sector as the business sector (e.g. mining organizations, non-governmental organizations, and civil society organization are not defined in the CMEP as private sector). The project intended to work with the private sector on mine formalization. The project, through ARM, tried several times to reach an agreement with Mineros, S.A. to allow ASMs to sub-contract with the company so the ASMs would operate legally.<sup>59</sup> To date, Mineros, S.A. does not intend to provide sub-contracts to ASMs. The project did manage to sign a memorandum of understanding (MOU) with Gran Colombia Gold who operates in northeast Antioquia. The MOU clarified how the project and Gran Colombia would coordinate activities in support of ASM formalization. However, as discussed previously, the precarious nature of the sub-contracts with Gran Colombia Gold has limited the number of mines the project is working with in Segovia and Remedios.

The other important private sector initiative the project is involved with involves FA who established three alliances with national and international organizations to develop tools and activities that encourage mining companies to include children's rights protection and CLM eradication from the value chain in their corporate programs and due diligence plans.

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<sup>59</sup> Due to the structure of the mining concession that Mineros, S.A. possesses, the only way for a mine other than Mineros to operate legally is to have a sub-contract with the company. Any mine operating without a sub-contact is considered illegal. Since the project cannot work with illegal mines, it is not working with any ASM in El Bagre and Zaragoza. Rather, it is concentrating on subsistence gold panners.

These organizations include the United Nations Children’s Fund (UNICEF), International Labour Organization (ILO), Save the Children, Pacto Global, MEN, and ICBF.

These partners developed and approved the first communication materials including the National Strategy for Childhood and Private Sector–Children’s Rights and Business, led by UNICEF, and The ABCs of Child Labor for the Private Sector, which was led by the ILO. While the evaluation agenda did not permit the evaluators to interview private sector representatives to assess the effectiveness of the communication campaign, they reviewed the communication materials during the report writing phase of the evaluation and believe they are well written and communicate the key child labor messages.

#### **3.4.4. Coordinating Committee**

In early 2014, USDOL helped establish a project working group on child labor in mining known as the Coordinating Committee (CC). Initially, the CC consisted of USDOL, Pact, and six key Colombian government stakeholders: MINTRABAJO, MINMINAS, MEN, ICBF, DPS, and the National Agency of Mines. Later, the CC incorporated the Somos Tesoro partners. This was especially important for FA because it helped increase the level of coordination among key government agencies for its work on public policy. The purpose of the CC is to share information on project developments, discuss challenges, and help link Somos Tesoro’s activities to existing governmental programs.

Over time, the only government agencies to consistently participate in the CC meetings have been MINMINAS, MINTRABAJO, and ICBF. The evaluators interviewed officials representing these three key government agencies to solicit their views of the CC. Officials from all three agencies told the evaluators that the idea of having a committee to help share information is important. However, their understanding of the CC varied considerably. When asked how often the CC met, one agency official said about once per year while another agency official thought the meetings were held about every six months. An official from the third agency opined that the CC meets on an “as needed” basis. Two other agency officials said that the CC does not meet often enough to be effective. Their understanding regarding the purpose of the CC also varied from it being a mechanism to share information about the project to the CC being a decision-making body that makes policy decisions.

The project partners also believe that, while important, the CC is not as effective as it could be. One partner said that the sub-committees and bilateral committees are far more effective than the CC. Another partner commented that poor communication between the national government agencies and municipal government agencies limits the effectiveness of the CC. One partner noted that some of the government agencies do not understand the difference between the CC and the National Interinstitutional Committee for the Eradication of Child Labor, which was created by law to make high level decisions regarding child labor. They perceive them as parallel committees. This partner suggested that the project should redefine the purpose of the CC so it serves as a technical committee that develops concrete proposals and other inputs to present to the National Tripartite Committee.



The evaluators believe that the CC has played an important role in facilitating both collaboration, coordination, and communication among key stakeholders including national government agencies. In this sense, the concept of the CC is a good practice. However, as noted in the previous paragraph, the CC is not as effective as it could be. Not all of the key government agencies have consistently participated in CC meetings. Those that have participated do not fully understand the purpose of the CC and their roles and responsibilities. If the purpose of the CC can be redefined to meet the needs and expectations of the CC members and member roles and responsibilities can be well defined, the evaluators believe it can make new and important contributions to achieving results. The evaluators also believe that USDOL should incorporate the CC concept in future projects with similar contexts.

### **3.5. Efficiency and Use of Resources**

This section addresses the efficiency of the project’s activities in terms of financial and human resources in relation to its results and outputs (Evaluation Question #8). To assess the project’s efficiency, the evaluation team analyzed the expenditures in relation to time remaining in the project’s life and ascertained key stakeholders’ views of the project’s efficiency during interviews.

#### **3.5.1. Expenditure Rate**

Table 9 shows total project expenditures as of February 2018. It should be noted that budget used to calculate and analyze resource allocations in Section 3.5.1 is dated August 2017. Using an older version of the budget is acceptable to calculate allocations. However, to calculate expense rates, the evaluation team used the most recent project status report provided by USDOL and the Somos Tesoro project director, which is dated February 2018.

Somos Tesoro was initially conceived of as a four-year project that started on September 30, 2013 and was scheduled to end on September 29, 2017. At the time of the midterm evaluation, Somos Tesoro had only spent 31 percent of its budget. Given the availability of resources, the midterm evaluation report recommended that the project request a no-cost extension to allow additional time to achieve its indicator targets.

The project requested and received two extensions. The first was a no-cost extension that extended the end date by nine months from September 29, 2017 to June 30, 2018. The second was a cost extension that extended the end date by three months from June 30, 2018 to September 30, 2018. The extension increased the life of the project from 48 months to 60 months and the budget from \$9,000,000 to \$9,550,000.

**Table 9: Somos Tesoro Project Expenditures as of February 2018<sup>60</sup>**

<b>Item</b>	<b>Amount Budgeted (USD)</b>	<b>Amount Expensed</b>	<b>Percent Expended</b>
Total Personnel	\$3,043,207	\$2,559,986	84%
Travel	\$328,402	\$272,133	83%
Equipment	\$25,708	\$27,583	107%
Supplies	\$93,001	\$90,513	97%
Consultants	\$127,018	\$130,521	103%
Program Activities	\$264,090	\$174,391	66%
Sub-awards	\$3,626,506	\$2,952,182	81%
Other Direct Costs	\$446,789	\$403,556	90%
Indirect Costs	\$1,595,267	\$1,335,851	84%
Contingency	\$12	\$12	100%
<b>Total</b>	<b>\$9,550,000</b>	<b>\$7,946,728</b>	<b>83%</b>

The project has effectively “spent” 52 months of its total life of 60 months or about 87 percent at the time the project financial status report was produced in February, 2018. As shown in Table 9, 83 percent of the project’s total budget was spent as of February 2018 that represents an underspending rate of four percent. The total amounts budgeted for equipment and consultant line items are overspent by seven percent and three percent, respectively. Spending for the supplies and other direct cost line items are slightly high. The rest of the line items are underspent by between four percent and seven percent. The exception is the program activities that is underspent by about 21 percent.

On average, the project spends approximately \$150,000 per month. At this expenditure rate, the project would need between 10 and 11 more months to spend the remaining \$1,603,272. Since Somos Tesoro is scheduled to end on September 30, 2018, the project should either increase its monthly expenditures from \$150,000 to \$200,000 or request another no-cost extension of approximately three to five months.<sup>61</sup>

### **3.5.2. Stakeholder Perceptions of Efficiency**

During interviews with key national and municipal government stakeholders, the evaluation team inquired about their perception of the project’s efficiency in terms of the use of resources to implement activities and achieve its objectives. In general, the stakeholders told the evaluators that it would be difficult for them to comment on the project’s efficiency without knowing the size of the budget, how resources are allocated to

<sup>60</sup> Source: Project Status Report, February 2018.

<sup>61</sup> The evaluators understand that some of the project partners will end activities in June 2018, which would increase the amount of resources available and thus increase the length of the no-cost extension to allow the project to spend all remaining resources.

different activities, and the range of achievements. Stakeholders believe the project is efficiently managed. None of the stakeholders interviewed complained about inefficiencies within the project.

This is a completely different perception than what was documented in the midterm evaluation report. After the first two years of implementation, Somos Tesoro was significantly behind in achieving its indicator targets for livelihoods and education and the budget was underspent by 20 percent. Key stakeholders commented on the slow start and lack of progress. They also commented on high turnover of project directors and long periods to replace key staff, such as the M&E and livelihoods and education officers, that they thought created inefficiencies.

### **3.6. Effectiveness of Project Management**

In this section, the effectiveness of project management is assessed. Management and implementation challenges and how they were addressed are discussed (Evaluation Question #9). The project’s M&E system including its set of tools and their appropriateness and usefulness are also discussed (Evaluation Question #10) as well as adjustments that were made to the CMEP to better meet the requirements of the project (Evaluation Question #11).

#### **3.6.1. Project Management and Implementation Challenges**

*Project Management Challenges.* Project staff and partners told the evaluators that the primary management challenge the project faced was the high staff turnover that caused a vacuum in leadership and decision-making in 2014. Project directors changed four times in the first year and a half of the project, while the M&E and livelihoods and education officers changed twice. Difficulties in finding replacements for the M&E and livelihoods and education officers resulted in vacancies of up to one year. Project partners commented that the lack of leadership in key positions hampered decision-making and delayed activities.

Project staff and partners also commented that high staff turnover and lack of leadership negatively affected the ability of the project partners to work in a coordinated and integrated fashion. As noted in Section 3.1, the project’s design and approach is predicated on the integration of the five IOs to reduce CLM. To achieve effective integration, it was paramount that the four implementing partners coordinate their activities. The midterm evaluation report, however, documented that project partners were working in a disjointed and fragmented manner that led them to work in isolation and even compete for beneficiaries to meet their targets.

According to project partners, Somos Tesoro started to slowly gain traction when the new project director was hired in October 2014. She brought new leadership and stability. In May 2015, the project conducted a workshop to enhance collaboration and coordination among partners. Nevertheless, the midterm evaluation, that was conducted in February 2016, found a lack of coordination among project partners and field teams and recommended increasing the number of meetings and information sharing especially in the

eight target municipalities. In response, the project developed a plan to improve coordination and communication among partners and field teams that leveraged the intensification strategy described in Section 3.4.2.

Efforts to improve coordination and communication and implement the IOs in a truly integrated manner appears to have been successful. Project staff and partners told the evaluators that while there are still some coordination glitches, overall the project partners and field teams are working in a much more integrated fashion. The various project teams meet to share information and, when appropriate, collaborate on activities such as vocational orientation training and training on household savings.

In addition to improved coordination and communication among the different project partners and teams, the Somos Tesoro project director told the evaluators that her relationship with the USDOL project manager overseeing the project is highly effective and could be considered a best practice. She believes that the frequency and quality of communication including information sharing and problem-solving is one of the keys to the project’s successes. The USDOL project manager also commented on what she considers a highly positive and productive relationship that has helped make important improvements in the project’s strategies.

*Implementation Challenges.* Somos Tesoro has faced a variety of implementation challenges that are well documented in the TPRs. According to project staff and partners, some of the most significant challenges include security, armed conflict and strikes. Ongoing armed conflict in Baja Cauca and Nordeste in Antioquia created security risks and challenges for project field teams. On several occasions, the project had to suspend activities due to the armed conflict as well as assassinations of miners in 2015 and 2017, some of whom were involved with Somos Tesoro. To address the challenges presented by the security problems, the project limited its work in areas most affected by the conflict and departed communities in the late afternoon.

Strikes also impeded project activities. Approximately 50,000 miners in Segovia went on strike in February 2015 over the regulation of mine titles, which caused the project to suspend activities. Miners went on strike again in August-September 2017. National level teacher strikes in April 2015 and May 2017 resulted in the suspension of PAZalobien activities in schools. In June 2016, truck drivers went on strike for 42 days that limited the ability for project field teams to travel to communities. During the strikes, project field teams developed creative strategies to maintain a presence such as implementing educational activities outside the formal school system. This is considered a best practice and is discussed in more detail under best practices (Section 3.8.1.)

### **3.6.2. Project’s Monitoring and Evaluation System**

The CMEP, which is discussed below, provides the overall M&E framework for the project. In addition to the CMEP, the M&E system includes the direct beneficiary monitoring system (DBMS), databases, data quality control measures, and a variety of tools. The project’s M&E team believes the M&E system is comprehensive and complete. It also credits tools like the DBMS for helping generate dialogue with national and local

level government representatives especially regarding child labor cases. The team also credits *CHÉVERE* with helping ensure data quality management. The evaluators consider *CHÉVERE* to be a best practice and is that are described in more detail in Section 3.8.1.<sup>62</sup>

## Comprehensive Monitoring and Evaluation Plan

The CMEP is a complete and complex document describing the causal relationship of the projects objectives, outputs, and activities as the proposed theory of change. The CMEP also includes the performance monitoring plan, data collection table, data quality checklist, evaluation plan, and internal project guidelines. The CMEP provides the roadmap and tools to monitor and report on the achievement of the project’s objectives and outputs.

According to the 2013 Management and Program Guidelines (MPG), the CMEP should be completed nine months after the grant award. The project’s CMEP was not completed and approved until December 2014, 15 months after the award. The reasons for the delay include the turnover of key personnel, misunderstandings about project beneficiary targets, and other issues that are well documented in the midterm evaluation.<sup>63</sup>

Views of the project staff and partners regarding the usefulness of the CMEP varies. The Pact M&E team believe the CMEP is a thorough and highly useful M&E plan that accurately tracks and reports on the project’s progress in achieving indicator targets. The M&E team believes the CMEP has helped keep the four project partners focused on the project’s main goal and objectives and their integration. The head M&E officer noted that while the CMEP is useful, it is overly complex and can intimidate project staff who are less familiar with M&E plans. He told the evaluators that to address the complexity of the CMEP document, the M&E team developed a separate document titled “*CMEP for Everyone*,” which simplified the CMEP contents and increased the accessibility for all project team members.

The other three partners were more critical of the CMEP. In general, they are comfortable with the current CMEP document and its tools, which allow the project to collect, analyze, and report on key indicator targets. One partner, however, commented that the CMEP process and tools are overly complex and should be simplified. The complexity was partially responsible for delaying the CMEP approval and the baseline survey, which should have been conducted much earlier in the life of the project so critical information would have been available to the partners. Another partner noted that, in addition to the complexity of the CMEP, those who participated in the CMEP workshops did not feel like they were being listened to during key discussions. She also said that project field staff who know the realities in communities and mines should have participated in the CMEP workshops to help determine the feasibility of some indicators and their data requirements.

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<sup>62</sup> CHÉVERE is a Spanish word that means “cool” in English. The M&E team use it to communicate steps in data quality controls: CHE (check) VE (verify) RE (revise).

<sup>63</sup> External Interim Evaluation of the Project to Reduce Child Labor in Colombia: Somos Tesoro Project, June 2016; page 36.

To ensure that the CMEP reflected the changes made to the revised project document, which was approved in May 2016, and the Somos Tesoro M&E team led a process to review and revise the CMEP. Revisions included the new beneficiary numbers, revised indicator targets, adjustments of some indicators, and revision to some tools. The revision process also resulted in a decision to train project field teams to collect data rather than rely on external data collectors. Project partners told the evaluators that the training that the M&E team conducted was critical in helping the various field teams understand the different project components and their integrated nature. Partners also credit the training for improved coordination among the field teams. USDOL approved the revised CMEP in August 2017.

According to the project partners, the CMEP review and revision should be considered a best practice because it increased the partners’ comfort level with the CMEP document and tools. One of the M&E team members told the evaluators that the decision to use project field teams to collect data is also a best practice because their knowledge and understanding of field conditions helped the M&E team make important changes to the data collection process and tools. However, as one of USDOL evaluation managers pointed out, USDOL encourages projects to conduct annual CMEP reviews to update the indicators and tools with USDOL approval.

### **3.7. Sustainability**

The following discussion assesses which of the project outputs and outcomes are most sustainable and transferable to government institutions, private sector, civil society organizations, and communities (Evaluation Question #12). It also makes reference to a recent post project impact study that identifies four key factors associated with sustainability that Somos Tesoro might consider in its efforts to sustain key outputs and outcomes.

#### **3.7.1. Sustainability of Somos Tesoro’s Outputs and Outcomes**

To help assess which of the project’s outcomes and outputs are most sustainable, the evaluators included sustainable specific questions in the interview guides for project staff, partners, and government stakeholders. Based on the interviews and the evaluators’ own assessment, the outcomes and outputs that show the most promise for long-term sustainability are discussed below.

*The Route.* Nearly everyone interviewed and asked about sustainability agreed that the *Route* is the most sustainable project output. As discussed in Section 3.5, the *Route* was adopted as a technical annex to ENETI. The *Route* has also been included in the development plans of the eight target municipalities. These achievements clearly help guarantee that the *Route* continues to have an impact on the prevention and eradication of CLM.

The evaluators identified several factors that could impede the sustainability of the *Route*. These include presidential elections and changes of key personnel and champions that support the *Route*, weak CIETIs in some municipalities, and the availability of resources

and the willingness of municipal governments to use resources to implement activities to address child labor risk factors.

*Youth Clubs.* The evaluators believe that the youth clubs show interesting promise for sustainability in the medium term. Youth club members that the evaluation team interviewed demonstrated a high degree of motivation and enthusiasm. They say they are committed to continue to develop and implement creative actions to address CLM once the project ends. FMS intends to continue to build the capacity of youth clubs and ensure they have a stockpile of materials so they can continue to engage in creative activities. FMS might consider training youth clubs in how to use locally available materials to implement PAZalobien activities so they are not dependent on materials they have to purchase such as markers, art supplies, paper, and so forth.

The evaluators noted two major challenges to sustaining the youth clubs. One is whether clubs will continue to meet and carry out CLM activities without the support and encouragement of the FMS facilitator. While clubs that the evaluators interviewed said they would continue, they also said the encouragement and support they received from the facilitators were critical to their success. The other challenge is training and engaging new generations of club members. The current cohort of youth club members will eventually transition into universities, jobs, and marriages. To sustain the clubs and their impact, the project will need to develop a strategy to have existing clubs identify, recruit, and train new members in PAZalobien methods.

*OSH Guides.* At the time of the final evaluation, ARM developed and transferred two key technical guides to stakeholders. These include the *Technical Guide for the Implementation of the SGSST for Small-Scale Mining*, the *Guide for Responsible Management and Alternatives for the Elimination of Mercury in Work Environments of the Mining Sector*, and the *Mine Formalization Kit*. MINMINAS and MINTRABAJO consider these guides as key reference resources. A representative from MINMINAS told the evaluators that it intends to use the guides in their work with ASMs in Boyacá. The sustainability challenge, however, is the extent to which the guides are actually used to address health and safety issues in ASMs. For example, the ARM technical director said that the project does not have a mechanism to determine whether inspections are conducted and whether the technical guide mentioned above is used correctly

*Productive Projects.* The project laid a strong foundation for the productive projects with entrepreneurship training for vulnerable households. The project initially established nine pilot productive projects that has grown to 42 at the time of the final evaluation. While many of the productive projects that the evaluators visited show interesting potential for sustainability, they are still weak and vulnerable. Several are not generating sufficient revenue to cover costs and others are not certain whether they could be viable because the project is still paying for critical inputs such as seeds, fertilizers, and chemicals. These productive projects are still dependent on the project for material and technical support. The project has worked hard to link the productive projects to viable markets. While the projects that the evaluators visited appear to be selling to markets, some of the market linkages are still weak and limited. The evaluators believe that if the project can strengthen the capacity of productive project groups and strengthen the market linkages, many could

evolve into viable businesses. The evaluators believe that Somos Tesoro needs to address the working conditions of the arepa factory in Segovia.<sup>64</sup>

*SENA Training.* The project has developed a relationship with SENA to provide a range of trainings. In El Bagre, SENA provides training to Somos Tesoro on entrepreneurship, job skills, and vocations. In Sogamoso, SENA’s center for mines has provided training on OSH topics. Somos Tesoro facilitated the training by organizing the trainees into groups thus creating the demand. In theory, the training provided by SENA is potentially highly sustainable because, according to SENA representatives, the agency has both resources and the mandate to provide training at no charge. However, SENA representatives told evaluators that it does not have the capacity nor mandate to organize household members into groups and train them. The sustainability challenge is who would organize household members into groups to request training from SENA once the project ends.

*Mine Formalization.* ARM trains ASMs in key criteria related to mine formalization. The training addresses OSH issues, mine management, environment, and other formalization processes. The evaluators interviewed several ASM owners and workers. These mines have made important improvements that have improved health and safety risk factors and increased production in at least on mine. During interviews, miners told the evaluators they consider the formalization process important and intend to continue once the project ends. They believe they now have the tools and knowledge to continue. Some, however, said they value the support from the project and do not want to see it end. One of the sustainability challenges is weak linkages to key mining resource organizations such as MINMINAS and SENA that could provide support to the formalization process once the project ends.

*PAZalobien.* FMS facilitators train teachers in the PAZalobien methodology and co-facilitate activities using PAZalobien methodologies. According to the FMS database, approximately 25 percent of all teachers trained actually use the methodology. These 25 percent represent a committed core group of teachers that could serve as the foundation for sustaining PAZalobien. They could be trained as trainers that would continue training other teachers once the project ends. The evaluators interviewed many of these committed teachers who showed strong interest in continuing to use PAZalobien methods and training other teachers. The sustainability challenge, however, is to ensure these teachers have the support to the school principals, access to resource materials, and some degree of support and encouragement. As with the youth clubs, FMS might consider training the teacher champions in how to use locally available materials that they can use to conduct PAZalobien activities.

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<sup>64</sup> During the visit to the arepa factory in Segovia, one evaluator observed that group members were working in very small quarters with poor ventilation. The factory was very hot and group members that at times they felt like they were going to faint due to the heat and poor air circulation.



### 3.7.2. Sustainability Success Factors

USAID’s Food for Peace Office, through the FANTA project, commissioned a post project impact study to evaluate the sustainability of 12 USAID funded project in four countries.<sup>65</sup> The evaluation team believes that this post project impact study provides a useful sustainability roadmap for the Somos Tesoro project for several reasons. First, six of the projects that were studied were implemented in Latin America with similar national operating environments to Colombia. Second, all of the projects studies included livelihood service interventions similar to the Somos Tesoro productive projects. Finally, the study concludes with a set of factors that facilitate long-term sustainability that the evaluation team believes are highly relevant to the Somos Tesoro project.

The study, which was conducted by Tufts University, concluded that **project achievements at the time of the endline survey did not necessarily translate into sustained benefit for project beneficiaries**. In fact, focusing exclusively on achieving targets during the life of the project could jeopardize longer term sustainability. Other important findings include the following:

- **Replacement resources, capacity building, and motivation were critical to achieving sustainability.** Identifying cash or in-kind resources to replace resources provided by the project; building the management and technical capacity of partners (both organizational and individual) to continue to implement activities; and maintaining high levels of partner and beneficiary motivation were not only critical but interrelated success factors.
- **Gradual transition from project supported activities to independent operation was important to achieve sustainability.** Sustainability was more likely when projects gradually phased out activities and resources and allowed partners and beneficiaries to operate independently well before the project ended. A significantly long disengagement process allowed local partners and beneficiaries to gain operational experience and confidence.
- **Providing free resources can jeopardize sustainability.** Providing free resources, such as food, marketing services, local transportation, inputs, and incentives, created expectations that could not be sustained once the project ended and funds were no longer available. Local partners that depended on these resources could not sustain them once the project ended.
- **Creating linkages, especially vertical linkages, between community and institutional structures was critical for effective phase-over and sustained support.** Creating linkages between project beneficiaries and partners and

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<sup>65</sup> Sustaining Development: A Synthesis of Results from a Four-Country Study of Sustainability and Exit Strategies among Development Food Assistance Projects, Gerald J. and Dorothy R. Friedman School of Nutrition Science and Policy at Tufts University, October 2016 <https://www.fantaproject.org/research/exit-strategies-ffp>

corresponding public and private sector institutions to support them is one of the most important sustainability success factors.

The evaluation team believes that the sustainability success factors identified by the USAID post project impact study have important implications for Somos Tesoro’s efforts to sustain key outputs and outcomes in the long-term. How these success factors might be applied within the context of Somos Tesoro is discussed in more detail as recommendations.

### **3.8. Best Practices and Lessons Learned**

This section lists and discusses best practices and lessons learned that could benefit similar projects. The evaluators reviewed best practices and lessons learned sections of the TPRs and included best practice and lessons learned questions in the interview guides. The list of best practices and lessons learned discussed are based on these sources of information.

#### **3.8.1. Best Practices**

*Integrated approach.* The integration of mine formalization, livelihoods, education, and policy interventions implemented in a well-coordinated manner by a consortium specializing in one of these components is considered a best practice. Despite early challenges, the project partners have managed to achieve a high level of teamwork that has facilitated the integration of the components and created important synergies to address child labor.

*The Route.* *The Comprehensive Route of Territorial Management for the Prevention and Elimination of Child Labor in Mining* and especially the consultative and participatory way in which it was developed is another important best practice. Involving key national and municipal government agencies and other actors appears to have created ownership and commitment that will prove to be critical to its implementation and sustainability. Building the capacity of the CIETIs to implement the *Route* is an important part of this best practice.

*Adaptive Management.* The project uses an adaptive management approach to ensure that the project makes important adjustments and modifications to achieve its objectives. The intensification strategy, discussed earlier, is part of the adaptive management approach. In addition, the project conducts meetings after the submission of each TPR to identify challenges and develop solutions. The project also developed and implemented creative strategies to maintain a presence in communities during teacher and miner strikes. For example, FMS field teams implementing PAZalobien activities with children outside the formal school system.

*Communication Strategy.* While communication is not one of the five IOs, it has proven to be an indispensable component. The project’s communication strategy promotes effective internal communication among project partners and teams, external communication about the project including child labor to key stakeholders and supports important social change efforts. The communication strategy is cross-cutting and supports the achievement of the

five IOs. The creation of the Somos Tesoro unified brand is an important part of the communication strategy.

*Local Facilitators.* The project decided to recruit and hire facilitators from the eight target municipalities. The project partners consider this to be a best practice because the local facilitators not only understand the local context, including security concerns, but have been able to effectively build trust with communities so child labor issues could be discussed and addressed.

*CMEP.* The evaluators identified a few best practices associated with the CMEP. Project partners believe the CMEP is complex and difficult to understand. To address these concerns, the Somos Tesoro M&E team developed a simplified version and explanation of the CMEP called “CMEP for Everyone” Since some partners were not fully in agreement with the initial CMEP, the project decided to revise the CMEP to bring it in line with the revised project document and make changes based on partner input. Finally, the project decided to train and use project field staff to collect data using the CHEVERE campaign.

*Mercury Test* The mercury test conducted by ARM with contamination results provided by the University of Antioquia was noted by ARM, MINMINAS, and the Director of Mines in El Bagre as a best practice because it allowed the project to use tangible evidence to develop and communicate messages about the risk of using mercury to miners and their families. ARM field teams believe the mercury study lent credibility to their efforts to educate gold panners, families, and communities about the dangers of using mercury.

*Use of Municipal Offices.* Some of the project teams are based out of municipal government offices. These project teams and partners believe this qualifies as a best practice because it saved money while building strong and effective relationships with municipal government officials. This practice helped increased the level of coordination and collaboration with municipal level decision-makers.

*Innovative Problem-Solving Tools.* The livelihoods component of Somos Tesoro used two innovative problem-solving tools in developing its approach to productive projects. Pact conducted a two-part field study using *Human Centered Design* to better understand Afro-Colombian and Indigenous populations.<sup>66</sup> Pact also conducted a study using *Applied Political Economic Analysis* (APEA) to better understand livelihoods strategies and how it might develop more effective productive projects.<sup>67</sup>

*Pact-USDOL Relationship.* The Somos Tesoro project director and the USDOL project manager believe that the relationship that they have established qualifies as a best practice. The relationship consists of telephone calls at least every two weeks as well as frequent email communications to share information and answer questions or clarify issues. The

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<sup>66</sup> Somos Tesoro Technical Progress Report, April 2017, Annex H5

<sup>67</sup> Somos Tesoro Technical Progress Report April 2017, Annex H6

evaluators found that this effective level of communication has helped improve overall project management and execution.

### **3.8.2. Lessons Learned**

*Communication Objective.* As noted above, the communication strategy is considered a best practice because it is responsible for ensuring effective internal and external communication and is instrumental in supporting the five IOs. Project staff and partners were unanimous in their view that communication should have been an IO and figured prominently in the project’s theory of change at the design stage of the project. A communications IO could have been developed at a lower level objective that supports the other five IOs. They also believe project staff should have been trained in the early stages of the project mining cultures in the target municipalities.

*Target Population.* The project established criteria to define target households, children, and adolescents in the CMEP. Based on these criteria, project partners selected beneficiaries that met these criteria and started implementation in a disjointed manner. While the coordination among partners has greatly improved in the last couple of years, the way in which beneficiaries have been selected has led to a target population that, in some cases, are not receiving an ideal mix of project services. The lesson is that this sort of complex project should begin with a thorough assessment of the project areas to understand family and community dynamics and ascertain input from communities that can be used to select the target population and develop the specific interventions that respond to the unique needs of different communities and cultures. Project partners should work as a team to develop the interventions to ensure their integration during implementation.

*Field Team Training.* Partners and their field teams told evaluators that they have learned from each other that has contributed to strong integration and coordination. The evaluators believe that at the beginning of the project each partner should have trained the other partner field teams in its technical area and approach. The evaluators believe this would have helped improve coordination, integration, and efficacy during the early stages of the project.

*Boyacá Project Office.* The project opened an office in Sogamoso, Boyacá in 2014. After a short period of time, the project decided to close the office. According to the project director, the office was closed because the cost was high and there was not a clear agreement between partners how the cost would be shared. One of the partners also noted that the office was a source of discord among the field teams. Apparently, the field teams could not agree on office space and how to share common space such as the conference room. Project partners noted that the lesson is that project partners should have been in agreement on the cost of the office, how the cost would be shared, and ground rules for assigning office space and use of common facilities.

*Regional Field Team Coordinator.* The project consists of field teams for mine formation, education, livelihoods, and policy. While the field teams have a designated coordinator or coordination mechanisms, there is not an appointed coordinator at the regional level to help

coordinate and integrate the various field teams. The evaluators agree with the opinion of a couple of partners that a regional level technical coordinator could have helped improve integration and coordination. However, the evaluators also understand there would have been budget implications.

*Productive Projects.* The project initially began with training households in entrepreneurship, which evolved into 42 productive projects that are considered pilots. The livelihoods, mine formalization, and education teams believe many of the productive projects have the potential to increase household income and reduce vulnerability. They believe a productive project strategy should figure prominently into the livelihood component with a strategy to scale up the productive projects so they have an impact on more households.

*Project Leadership.* The Somos Tesoro project director changed four times in the first year plus of the project. The livelihood and education and M&E officers also departed and their replacements took substantial time to recruit and hire. These personnel changes, especially the project director, led to a vacuum in leadership that affected decisions and was at least partially responsible for delays in implementation. Once the project director and livelihood and education and M&E officer positions were filled with capable and strong leaders, the project gradually recovered from the delays and coordination and communication improved. It is critical for a complex project like Somos Tesoro to have key positions staffed with capable and strong leaders, especially in the project start-up phase.

*Building Trust.* Mining communities in Antioquia that have been affected by armed conflict and mistrust government agencies and outsiders in general. Some community members believe that cases of child labor will be reported to the government who will come and take children away. Some miners believe that mine formalization will lead to the closing of mines. Other community members are afraid that outside organizations could be aligned with certain armed groups that extort money. It takes time to build trust so child labor and other topics such as mine formalization can be discussed with these communities and subsequent actions taken to reduce the risks associated with child labor.

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## **IV. CONCLUSIONS**

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Following are the evaluation team’s conclusions based on the findings from Section III. The conclusions are organized according to relevance, validity of project design, project performance, effectiveness of strategies, efficiency and use of resources, effectiveness of project management, and sustainability.

### **4.1. Relevance**

The project identified appropriate set of integrated strategies to address root causes of child labor in mining. The strategies include mine formalization, livelihoods, public policies, and education. The project’s communication strategy, which addresses internal and external communication and supports the project components, should have been one of the primary strategies and reflected as one of the IOs.

### **4.2. Validity of Project Design**

The project’s theory of change defines the necessary pathways for reducing child labor in mining in Colombia and appropriately calls for an integrated implementation approach. The theory of change consists of five IOs that include ASMs comply with OSH and mine safety standards, households reduce socioeconomic vulnerability, municipalities have improved mechanisms to address CLM, increase institutional capacity to address CLM, and increase educational opportunities for children and adolescents at risk for CSM. As noted under 4.1, the communication strategy should have been one of the IOs.

The theory of change was validated for several reasons. First, the four components of mine formalization, education, livelihoods, and policy are the right strategies to address CLM. Second, the project is demonstrating reductions in child labor and improvements in key IO performance indicators such as school dropout rates, reintegration into the school system, implementation of mine health and safety practices, and the adaptation of important child labor policies. Third, interviews with project beneficiaries, project managers and technical teams, and national and local government officials strongly suggest that the project strategies are contributing to the reduction in CLM.

### **4.3. Project Performance**

The project is on track to achieve all of its indicator targets for the five IOs. In fact, the project has met or exceeded targets for all indicators except OTP 2, which is the number of households with at least one member who has completed job skills training. The project trained 540 persons in job skills against a target of 1,000. However, as noted previously, households appear to be less interested in job skills training due to the lack of formal employment opportunities than other entrepreneurial opportunities.

The project has made significant progress in achieving its livelihood and education indicator targets compared to the midterm evaluation. The project modification to reduce the target households from 9,783 to 3,500 and children and adolescents from 19,566 to

13,000, along with the intensification strategy and other adaptive management practices, are largely responsible for the dramatic turn around.

#### **4.4. Effectiveness of Strategies**

*Mine Formalization.* Miners who participated in mine formalization training demonstrated a thorough understanding of dangers of CLM as well as OSH and mine safety issues including the risk of using mercury. Mines have taken concrete steps to improve health and safety, environment, and mine management. While miners value the training, they would like to see trainings use more dynamic and practice methods. One issue that could decrease effectiveness is the high turnover rate of mine workers. Many miners only receive one training before they quit their job. While the project is meeting its target in terms of the number of miners trained, the impact of the training might be affected if miners only receive a limited set of trainings. Many of the miners interviewed said that they require refresher training.

*Livelihood Security.* The project’s livelihood strategy is comprehensive and includes mine productivity, entrepreneurship training, productive projects, job skills training, household savings, protective environments for children in mining areas, and linkages to social programs. There is evidence in at least one mine that improved management practices increased production by nearly 400 percent. The entrepreneurship training laid the foundation for 42 pilot productive projects, many of which show interesting promise to improve household livelihood security. Most of the productive projects are still weak and vulnerable and require strengthening as well as market linkages. Job skills training appears to be less effective due to the shortage of employment opportunities. While the household savings training is valued by households, the evaluators were not able to identify tangible benefits during interviews.

*The Route. The Comprehensive Route of Territorial Management for the Prevention and Elimination of Child Labor in Mining* appears to be a highly effective strategy. The project used consultative and participatory approach to develop the *Route* that has created ownership and commitment on the part of national and municipal government officials. One challenge that could reduce its effectiveness is the availability resources in municipal governments and the willingness of officials to use resources to implement CLM activities. Another challenge is the presidential and subsequent local elections and likely turnover of civil servants and elected officials that currently support the Ruta.

*Institutional Mechanisms CLM.* The project developed and disseminated two important guides under this strategy. It also provided training to key government officials. The project was also instrumental in creating linkages between ASMs and MINMINAS and MINTRABAJO and helped create an understanding and appreciation among ministry officials of the challenges that ASMs face. The major challenge that could decrease the effectiveness of this strategy is the extent to which government agencies adapt and use the tools that have been or will be produced. For example, while the project trained inspectors in the use of the Technical Guide for the Implementation of the SGSST for Small-Scale Mining”, it does not have control over whether the inspectors actually use the guide nor a mechanism to track its use.

*PAZalobien Methodology.* PAZalobien is a highly dynamic, participatory, and effective methodology. Both teachers and students who use PAZalobien report improvements in motivation and academic performance. It is also being used effectively outside the formal classroom to constructively engage adolescents that might otherwise decide to work in mines. Factors that could decrease its impact on CLM is that PAZalobien is not being implemented in many rural areas where CLM could be more problematic and the relatively low percent of teachers using the methodology. In addition, MEN is not actively engaged in the Coordinating Committee and, to date, has not decided to promote PAZalobien.

*Safe and Protective Environments.* Safe and protective environments is implemented under the livelihood security strategy and consists of training communities including community mothers on social vulnerability and protective environments for children and adolescents. Parents attending parent schools are also trained on safe and protective environments. Those trained in safe and protective environments value the training and believe it is effective. One factor that could limit the effectiveness of the parent school training is the low attendance rate that was documented in the October 2016 TPR and discussed previously in Section 3.4.1. School principals and teachers estimate that only 20 percent of parents attend.

*Out-of-School Youth.* The strategy to address out-of-school youth is implemented under the education strategy. The project is working with schools to develop and use tools to register drop outs and conduct home visits to find out why children stopped attending classes. It was difficult for the evaluation team to assess the effectiveness of this strategy. School principals and teachers did not provide many examples of using the process described above. FMS facilitators, on the other hand, provided a couple of examples where they worked with schools to register drop outs and conduct home visits that resulted in children being re-enrolled.

*Communication Strategy.* The communication strategy is comprehensive and effective. It provides a roadmap and tools for effective communication among project staff and partners as well as effective communication about the project to external stakeholders. The social change component of the strategy is especially effective in supporting the five IOs. The evaluators agree with project staff and partners that the communication strategy should have been one of the IOs and an integral part of the theory of change and played an important role in training project staff in the Colombia mining culture and how to address child labor in mining communities.

*Intensification Strategy.* The project developed the intensification strategy to address the midterm evaluation recommendation to focus on increasing indicator target achievements for the education and livelihood components. The intensification strategy along with reducing the target number of households, children, and adolescents and other adaptive management practices is responsible for a dramatic improvement in performance as it relates to achieving indicator targets.

*Involvement of Key Stakeholders.* The involvement of key stakeholders has been somewhat mixed. The involvement of MINMINAS, MINTRABAJO, SENA, and ICBF has been strong and consistent. Due to changes in personnel, DPS’s involvement decreased but has



recently increased. MEN, that should play an important role in supporting and sustaining the PAZalobien activities, has not shown interest in collaborating on child labor issues. Municipal governments have been involved in developing the *Route* and some are supporting CLM activities. A limited number of civil society organizations are involved because they received grants to implement activities to fill free time for children and adolescents at risk for CLM. Involvement of the private sector is perhaps the most limited. One large multinational mining company that the project initially targeted to support the mine formalization process for ASMs have shown little interest in collaborating.

*Coordinating Committee.* The CC has played an important role in sharing information about the project and keeping key government stakeholders informed. However, government officials that have participated in the CC meetings are not entirely clear about the purpose of the CC, how often it meets, and the relationship to the Interinstitutional Committee for the Eradication of Child Labor.

#### **4.5. Efficiency and Use of Resources**

The project is operating at an acceptable level of efficiency. The project’s expenditure rate, on the other hand, is slightly low. The budget is underspent by about four percent with eight months remaining.

#### **4.6. Effectiveness of Project Management**

The most important management challenge the project faced was the turnover of project directors. The project director changed four times during the first year and a half of the project. The livelihoods and education and M&E officers also departed. Turnover of key personnel created a leadership vacuum that contributed to ineffective coordination among partners and disjointed implementation of strategies, which contributed to delays and low performance in terms of indicator target achievement. Since the midterm evaluation, the project has made significant improvements in partner coordination and teamwork that has increased the integration and effectiveness of its strategies. The project is on track to achieve its indicator targets.

The project faced a range of implementation challenges including armed conflict, miner strikes, teacher strikes, and truck driver strikes. The project developed and implemented effective contingency plans to address these challenges that minimized their impact on project implementation.

#### **4.7. Sustainability**

The *Route*, youth clubs, and the mine formalization-OSH guides show the best potential for sustainability. The *Route* is probably the most sustainable output. It is included as a technical annex to ENETI. While the presidential elections will likely result in key changes to civil servants and elected officials who support the *Route*, it enjoys a high chance of being sustained once the project ends. The youth clubs also show interesting sustainability potential given the high level of interest and motivation that youth club members

demonstrate. The mine formalization-OSH guides also show promise since they are well aligned with MINMINAS formalization policy.

Many of the productive projects are potentially sustainable if, in the remaining life of the project, the groups can be sufficiently strengthened and linkages to markets established. Mine formalization training provided by SENA’s mine center in Boyacá and entrepreneurship training provided by SENA’s entrepreneurship center in Antioquia could be sustained if project beneficiaries are able to organize and create a demand for SENA training services. While motivated mine owners are likely to continue to work on mine formalization, less motivated mine owners might not continue. The same is true for the education interventions. Those schools where a critical mass of motivated teachers exist along with a committed principal, will likely try to continue to implement PAZalobien activities while schools without a critical mass of motivated teachers and a committed principal will likely not continue.

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## V. RECOMMENDATIONS

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The following **recommendations** are intended to provide the Somos Tesoro project staff and the donor with suggested actions that can further strengthen project outputs and outcomes and increase the potential for sustainability given the project will end within the next eight months.

### 5.1. Coordinating Committee

Pact should work with the CC members to re-define the purpose of the CC as well as the roles and responsibilities of the members. Committee members are not entirely clear about the purpose of committee, its relationship to the project, and the roles of individual members. If the purpose of the of the CC can be defined to meet the practical needs of the project and expectations of the CC members, including outlining roles and responsibilities for participating members, the CC should be able to make an important contribution to achieving project results.

### 5.2. Comprehensive Sustainability Plan

Project partners should revise its current sustainability plan and matrix so it is more comprehensive and provides a clear roadmap to sustainability during the final months of the project. The revised sustainability plan should define the output or outcome to be sustained, the strategy to sustain the output or outcome, the government agency or partner organization responsible for the different strategies, the timeframe for implementing the strategies, and the required resources to implement the strategies. The sustainability plan should also include a set of indicators or benchmarks to measure progress in implementing the plan.<sup>68</sup> The sustainability plan should also include the sustainability success factors identified in the USAID post project study conducted by Tufts University. These include identifying required replacement resources, building required capacity, ensuring commitment, providing a sufficiently long disengagement process, stop providing free resources, and creating linkages to markets, financing, and other resources. The sustainability plan should be developed by all four project partners in an integrated and synergic manner.

### 5.3. Project Extension

Pact should request two kinds of project extensions. The first extension should be a no-cost extension for two months that would allow the project to finish implementing key activities including those in the comprehensive sustainability plan (Recommendation 5.2) while expending the remaining funds in the grant. The second extension should be two-year cost extension to expand the project to two new municipalities in a new mining region using

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<sup>68</sup> Please note that the indicators or benchmarks are intended to measure progress in implementing the plan but are not meant to measure sustainability. Sustainability is best measured once the project ends during a post-impact evaluation, which is beyond the scope of Somos Tesoro.

the lessons learned to date. Pact should also use the cost extension period to further strengthen those outcomes in the comprehensive sustainability plan that show the most promise for long-term sustainable impact on beneficiaries.

#### **5.4. Arepa Factory Conditions**

Pact should investigate the conditions at the Arepa Factory in Segovia and take appropriate action. The evaluator who visited the factory observed difficult working conditions including high temperatures and crowded space. The factory has very poor ventilation to allow heat from the ovens to exit and fresh air to enter the cooking area. Women working in the factory complained about the high temperatures and reported that one worker felt faint due to the heat and had to sit.<sup>69</sup>

#### **5.5. Productive Project Groups**

Pact should use the remaining months in the project to strengthen the productive project groups. This would include further finance training, assistance in developing business plans that show income and expense projections, and technical training depending on the kind of productive project. Pact should also stop providing free inputs. The groups should pay for the necessary inputs from the income from sales, which will help them understand whether the project is viable and can generate a profit. Pact should also ensure the projects are linked to multiple markets, financial institutions, and other resources. For example, the vegetable garden groups in Boyacá should be linked to the Secretary of Development in Sogamoso that has technical staff and resources to support vegetable gardens. The productive project groups in Antioquia should be linked to the SENA entrepreneurship center in El Bagre that has resources for training and seed capital for small businesses start-ups.

#### **5.6. Youth Club Networks**

FMS should identify those youth clubs that show the most potential for sustainability and work with them to develop continuation plans. These plans should include how the youth clubs intend to recruit and train new generations in PAZalobien activities. FMS should also organize the youth clubs into networks and link them to external resource organizations. One of these resource organizations should be FMS who would make a commitment to support the youth clubs, to the extent possible, so they can continue implementing PAZalobien activities including training new members. Finally, FMS should train youth clubs how to use locally available materials so they can implement PAZalobien activities without depending on materials that the project has provided such as markers, paper, paint, and art supplies. Most youth clubs do not have funds to purchase these kinds of materials.

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<sup>69</sup> At the time the evaluation report was being finalized, the project communicated evidence that it had addressed the high temperatures in the arepa factory by installing a ventilation system consisting of extractor fans and other measures.

## **5.7. PAZalobien Champions**

FMS should identify those schools that have a critical mass of teachers that have been trained in PAZalobien methods and are committed to using them. These schools and teachers would serve as champions who would be well placed to sustain PAZalobien. FMS should ensure that school principals are committed and willing to support PAZalobien activities including providing permission to teachers to use time to undertake PAZalobien activities. FMS should also provide refresher training and ensure the school has complete sets of PAZalobien teaching guides and reference materials. The teachers should be trained how to use locally available materials to implement PAZalobien activities so they are not dependent on the kinds of materials the project has provided such as markers, paper, paints, and so forth. In the remaining months of the project, the FMS facilitators should allow and encourage teachers to learn how to “walk alone” to organize and implement PAZalobien activities so they gain experience and confidence.

## **5.8. ARM Resource Linkages**

ARM should identify ASMs most interested in continuing mine formalization and link them to resources to help them continue the formalization process. ARM has trained ASMs and provided mine formalization tools. Many of the ASMs have made important improvements and are motivated to continue to work on formalization but will require additional training and other forms of technical assistance. Potential resource organizations would include the SENA mining center in Sogamoso and MINMINAS. Once ARM helps link ASMs to resource organizations, the ARM facilitators should allow and encourage the ASMs to organize and request training, technical assistance, and other resources so they learn and develop confidence.

## **5.9. New Civil Servants and Elected Officials**

FA should develop a strategy to orient and train new civil servants and newly elected officials on the *Route*. The project is working together with the Higher School of Public Administration (ESAP) to design a virtual course for the *Route*. This course, which could be accessed by relevant civil servants, could form an important element of the strategy. Since the elections will also affect the composition of the CIETIs, FA should plan and implement further strengthening activities for CIETIs, especially those that are weaker.

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## **ANNEXES**

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## **Annex A: Terms of Reference**

### **Terms of Reference**

#### **Final Evaluation**

#### *Project to Reduce Child Labor in Colombia (Somos Tesoro)*

#### **Implemented by PACT**

### **1. Background and Justification**

The Office of Child Labor, Forced Labor, and Human Trafficking (OCFT) is an office within the Bureau of International Labor Affairs (ILAB), an agency of the U.S. Department of Labor (USDOL). OCFT activities include research on international child labor; supporting U.S. government policy on international child labor; administering and overseeing cooperative agreements with organizations working to eliminate child labor around the world; and raising awareness about child labor issues.

Since 1995, the U.S. Congress has appropriated over \$1 billion to USDOL for efforts to combat exploitive child labor internationally. This funding has been used to support technical cooperation projects to combat exploitive child labor in more than 93 countries around the world. Technical cooperation projects funded by USDOL range from targeted action projects in specific sectors of work to more comprehensive projects that support national efforts to eliminate child labor. USDOL-funded child labor elimination projects generally seek to achieve five major goals:

1. Reducing exploitative child labor, especially the worst forms through the provision of direct educational services and by addressing root causes of child labor, including innovative strategies to promote sustainable livelihoods of target households;
2. Strengthening policies on child labor, education, and sustainable livelihoods, and the capacity of national institutions to combat child labor, address its root causes, and promote formal, non-formal and vocational education opportunities to provide children with alternatives to child labor;
3. Raising awareness of exploitative child labor and its root causes, and the importance of education for all children and mobilizing a wide array of actors to improve and expand education infrastructures;
4. Supporting research, evaluation, and the collection of reliable data on child labor, its root causes, and effective strategies, including educational and vocational alternatives, microfinance and other income generating activities to improve household income; and
5. Ensuring the long-term sustainability of these efforts.

The approach of USDOL child labor elimination projects – decreasing the prevalence of exploitive child labor through increased access to education and improving the livelihoods

of vulnerable families – is intended to nurture the development, health, safety, and enhanced future employability of children engaged in or at-risk of entering exploitive labor.

USDOL-funded child labor elimination projects are designed to ensure that children in areas with a high incidence of child labor are withdrawn and integrated into educational settings, and that they persist in their education once enrolled. In parallel, the projects seek to avert at-risk children from leaving school and entering child labor. The projects are based on the notion that the elimination of exploitative child labor depends, to a large extent, on improving access to, quality of, and relevance of education. Without improving educational quality and relevance, children withdrawn/prevented from child labor may not have viable alternatives and could resort to other forms of hazardous work.

In FY2010, Congress provided new authority to ILAB to expand activities related to income generating activities, including microfinance, to help projects enhance income generation and address poverty more effectively. The addition of this livelihood focus is based on the premise that if adult family members have sustainable livelihoods, they will be less likely to have their dependent children work and more likely to keep them to school.

### *Project Context*

Colombia is the second largest gold producer in South America and has the largest coal reserves in the continent. The Government of Colombia (GoC) intends to double coal exports, quadruple gold exports, and triple the area under mining by 2019. In recent years, the improving security situation in the country has increased market confidence in Colombia, attracting foreign investors. In November 2016, the Colombian Congress approved a peace agreement with the Revolutionary Armed Forces of Colombia (FARC), and in September 2017, the Colombian government and the National Liberation Army (ELN) agreed a temporary ceasefire deal.

Despite the boom in industrial mining, most mineral production in Colombia stems from the artisanal and small-scale miners. Artisanal and small-scale mining (ASM) is characterized by the lack of titles to mines, poor environmental and occupational safety and health (OSH) standards, lack of legal employment contracts and social security, inefficient and fluctuating productivity with low levels of working and investment capital, inadequate technical knowledge, and rudimentary tool and techniques with low levels of mechanization. There are approximately 6,000 artisanal mines in Colombia of which millions of Colombians depend for their livelihoods.

Despite the economic importance of artisanal mining, the 2001 Mining Code re-categorized it as ‘illegal mining’, thereby leaving artisanal miners in judicial limbo. To address this legal anomaly and recognize that many of the potential economic benefits of the sector are lost through poor mining practices, the Government of Colombia (GoC) is now focused on the process of formalizing artisanal mining by developing a regulatory and policy framework. However, government authorities lack the capacity and resources to regulate and supervise the informal mining sector, and to ensure that basic occupational health and safety standards are met.



Unregulated mines can be magnets for child labor. There are no reliable statistics on the incidence of child labor in the mining sector. However, reports on the number of children engaged in mining activities range from 5,200 to 200,000.<sup>70</sup> Children working in the mining sector are often involved in a wide range of activities including working directly in mineral extraction, transportation, and processing as well as in ancillary activities such as selling food and providing supplies to the miners.

Mining is considered to be one of the ‘worst forms of child labor’ (WFCL) as children are required to carry out hard, physical labor in hazardous and potentially corrupting conditions. The physical and mental stress they face is proportionately greater in children than in adults due to their growing bones and organs, their vulnerability to disease and toxins, and their need for safe, nurturing environments to support their development. Their precarious, informal living and working conditions go hand-in-hand with weak state presence, which leads to even greater disenfranchisement and vulnerability because of lack access to basic household services and limited access to health care and education, including referral services for child protection.<sup>71</sup>

### *Project Specific Information*

The Project to Reduce Child Labor in Colombia (also known as Somos Tesoro, translated to *We Are Treasure* in English) aims to reduce the number of children and adolescents ages 5-17 engaged in child labor, with a focus on child labor in mining (CLM). The project targets 13,000 children and adolescents engaged in or at risk of entering exploitative child labor, and 3,500 households with at-risk children using a multifaceted approach that focuses on 1) formalizing artisanal and small-scale mines; 2) improving household social and economic resilience; 3) increasing access to quality education; and 4) improving institutional mechanisms that protect and prevent children and adolescents from engaging in CLM.

The Somos Tesoro project aims to support the efforts of the GoC to formalize the artisanal mining sector by implementing labor standards to improve working conditions as a strategy for mitigating the risk of injuries to adult workers, which is a lead causal factor for child labor. The project intends to increase the capacity of the Colombian government agencies, such as the Ministries of Labor and Mines and Energy (MME), the National Agency of Mining (Agencia Nacional Minera, ANM), and the Colombian Institute for Family Well Being, ICBF) to identify and address child labor and OSH concerns and improve coordination between all stakeholders at the national, departmental and municipal levels.

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<sup>70</sup>Colombian Ministry of Labor’s System for the Identification and Registration of Child Labor (SIRITI), available at <http://apps.mintrabajo.gov.co/siriti/display.aspx>. See also Unos 200.000 niños trabajan como mineros en Colombia, según el Gobierno, *Europapress.co*, February 10, 2007, available at <http://bit.ly/ZgxWrz>. See also Polémico Tratado sobre el Mercurio Empeorará la Situación de los Niños Mineros, *Organic Buenos Aires*, July 4, 2012, available at <http://bit.ly/YAA230>.

<sup>71</sup> The description of the project context was taken from Somos Tesoro’s project document.

The project strategy aims to identify different levels of vulnerability, exposure, and risk that the children face.

The project works in the Department of Antioquia with a focus on gold and in the Department of Boyacá with a focus on coal. The project works with artisanal mining communities with a focus on households with children who are engaged in child labor in mines and those at high risk of entering child labor. ‘Children at high-risk of entering child labor’ refers to children who experience a set of conditions or circumstances that make it more likely that the child will be employed in child labor (e.g. siblings of working children, parent working in mining or who is economically incapacitated by an occupational safety and health (OSH)-related accident).<sup>72</sup>

The project’s current Theory of Change is reflected in its results framework, which was developed during the development of the project’s comprehensive monitoring and evaluation plan (CMEP). According to the results framework, the project’s overall objective is the reduction in the number of children and adolescents (5-17) involved in child labor, with a focus on child labor in mining in target mining municipalities of the Departments of Antioquia and Boyacá, Colombia. The intermediate objectives are listed below:

1. ASM activity that complies with occupational health and mining safety standards to reduce risks that lead to accidents or sicknesses, as well as other steps to mine formalization;
2. Target households with reduced socioeconomic vulnerability;
3. Target departments and municipalities with mechanisms for child protection and prevention of child labor in mining;
4. Institutional mechanisms in place which contribute to the elimination of child labor in mining;
5. Children and adolescents at risk of or engaged in child labor with increased opportunities to access quality education.<sup>73</sup>

## **2. Purpose and Scope of Evaluation**

### *Final Evaluation Purpose*

The main purposes of the final evaluation are:

1. To review the achievements and performance of the Project (extent to which the objectives, outcomes and targets have been achieved),
2. To examine the level of integration and coordination achieved during implementation and to analyse the extent to which this integration had a positive impact on the results of the project,

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<sup>72</sup> The project specific information was taken from Somos Tesoro’s project document.

<sup>73</sup> Information taken from Somos Tesoro’s CMEP and project document.

3. To identify additional opportunities (entry points) and lessons learned as input for other initiatives for the prevention and eradication of child labour in Colombia,
4. To identify best practices that have bolstered the sustainability of the results achieved.

### *Evaluation Scope*

The evaluation will focus on the Somos Tesoro project mentioned above, its achievements, strategies and its contribution to Colombia’s efforts to address child labor in mining and improve working conditions in artisanal and small-scale coal and gold mining in the Departments of Antioquia and Boyacá.

The evaluation should identify intended (i.e. planned) and unintended results in terms of outputs and outcomes. Some unintended changes could be as important as the ones planned. Therefore, the evaluation team should reflect on them for learning purposes.

The analytical scope should include identifying levels of achievement pertaining to Project objectives and explaining *how* and *why* they have been attained in such ways (and not in other alternative expected ways if it would be the case). The purpose is to help the stakeholders to learn from the on-going experience.

### *Intended Users*

This final evaluation should provide USDOL, PACT, the Government of Colombia, sub-grantees (Alliance for Responsible Mining, Fondo Acción, and Fundación Mi Sangre) and other project stakeholders an assessment of the project’s experience in implementation, its impact on project beneficiaries, and the likelihood of sustaining key outputs, outcomes, and impacts. It should also provide an assessment of USDOL/OCFT, PACT management, and sub-grantees will use the evaluation results as a learning tool for similar projects in Colombia, the region, and globally.

The report will be published on the USDOL website, so the report should be written as a standalone document, providing the necessary background information for readers who are unfamiliar with the details of the project.

### *Evaluation Questions*

Category	Evaluation Questions
<i>Relevance</i>	<ol style="list-style-type: none"> <li>1. How did the components and integrated approach (ASM, livelihoods, public policy, education) contribute to achieving the goal of reducing child labor in the intervention areas?</li> <li>2. To what extent did the project contribute to formalizing mining activities and improving livelihoods for vulnerable populations, including gold panners and female miners?</li> </ol>
<i>Project Design and Validity</i>	<ol style="list-style-type: none"> <li>3. Have the achievements of the project been consistent with the Theory of Change? What factors positively or negatively impacted the theory of change?</li> </ol>

Category	Evaluation Questions
<i>Project Effectiveness</i>	<p>4. How effective were the Project’s interventions? These include: the pilot “Ruta de Gestión Territorial”, the intensification strategy and impact on national policy; safe environments for children strategy; Pazlobien methodology; mine formalization and livelihoods strategies; strategy to address out-of-school children; and the communication and awareness raising strategy.</p> <p>5. To what extent has the project’s intensification strategy had an effect on project outcomes and outputs, particularly for the livelihood and educational participants? How has the intensification strategy strengthened project implementation and coordination in areas of intervention?</p> <p>6. How effective was the project’s strategy to involve key stakeholders (national, departmental, and local government agencies, private sector, and civil society organizations) in efforts against child labor, with a focus on mining?</p> <p>7. How effective was the project’s coordinating committee in facilitating collaboration with government agencies and establishing synergies to achieve better results? Is it a good practice that could be replicated?</p>
<i>Efficiency</i>	8. Were the project activities efficient in terms of financial and human resources in relation to its results and outputs?
<i>Effectiveness of Project Management</i>	<p>9. How effective was the project in overcoming management and implementation challenges? Was the project effective at collaborating with government entities and the private sector on livelihood and education interventions?</p> <p>10. Were the CMEP tools useful and appropriate for the project implementation and project management?</p> <p>11. Was the Monitoring and Evaluation (M&amp;E) system efficiently adjusted for the requirements and needs of the project? Did the M&amp;E tools facilitate discussions with local and national governments?</p>
<i>Sustainability</i>	<p>12. Which of the project’s outputs/outcomes are most sustainable (durable) and transferable to government institutions, the private sector, civil society organizations, and communities to support efforts to reduce child labor in Colombia?</p> <p>13. What are the best practices and lessons learned that could benefit similar projects? (including livelihood, mine formalization/legalization, and communication strategies, as well as and the pilot “Ruta de Gestión Territorial para la Prevención y Reducción del Trabajo Infantil Minero,”)</p> <p>14. In general, what were the challenges and opportunities for working with the government, NGOs, the private sector and communities?</p>

### 3. Evaluation Methodology and Timeframe

The evaluation methodology will consist of the following activities and approaches. While the evaluation team may propose changes in the methodology, any such changes should be discussed with USDOL and the project, provided that the research and analysis suggest changes and provided that the indicated range of questions is addressed, the purpose maintained, and the expected outputs produced at the required quality.

#### *Approach*

The evaluation approach will be qualitative and participatory in nature and use project documents including CMEP and target table data to provide quantitative information. Qualitative information will be obtained through field visits, interviews and focus groups as appropriate. Opinions coming from beneficiaries will improve and clarify the use of

quantitative analysis. The participatory nature of the evaluation will contribute to the sense of ownership among beneficiaries.

Quantitative data will be drawn from the CMEP, budget, Performance Reporting Form (PRF), and project reports (such as TPRs, Federal Financial Reports, and research reports) to the extent that it is available and incorporated in the analysis. The evaluation approach will be independent in terms of the membership of the evaluation team. Project staff and implementing partners will generally only be present in meetings with stakeholders, communities, and beneficiaries to **provide introductions**. The following additional principles will be applied during the evaluation process:

1. Methods of data collection and stakeholder perspectives will be triangulated for as many as possible of the evaluation questions.
2. Efforts will be made to include parents’ and children’s voices and beneficiary participation generally, using child-sensitive approaches to interviewing children following the ILO-IPEC guidelines on research with children on the worst forms of child labor (<http://www.ilo.org/ipeinfo/product/viewProduct.do?productId=3026>) and UNICEF Principles for Ethical Reporting on Children ([http://www.unicef.org/media/media\\_tools\\_guidelines.html](http://www.unicef.org/media/media_tools_guidelines.html)).
3. Gender and cultural sensitivity will be integrated in the evaluation approach.
4. Consultations will incorporate a degree of flexibility to maintain a sense of ownership of the stakeholders and beneficiaries, allowing additional questions to be posed that are not included in the TOR, whilst ensuring that key information requirements are met.
5. As far as possible, a consistent approach will be followed in each project site, with adjustments made for the different actors involved, activities conducted, and the progress of implementation in each locality.

### *Evaluation Team*

**Dan O’Brien**, founder and president of OAI, will serve as the lead evaluator. Dan is a seasoned labor evaluation expert that has conducted more than 25 evaluations for USDOL and the ILO. He has evaluated USDOL-funded child labor prevention projects in Honduras, Guatemala, Nicaragua, El Salvador, the Dominican Republic, Indonesia, and Uganda. He also evaluated USDOL and State Department-funded labor strengthening programs in Honduras Guatemala, Nicaragua, Honduras, El Salvador, Guatemala, Peru, the Dominican Republic, Haiti, Bangladesh, Jordan, and Indonesia.

Dan worked extensively in Colombia under a USAID contract; OAI served as a subcontractor to Chemonics International. Dan conducted assessments of potential alliances with the private sector including NGOs. One of the sectors he spent considerable time assessing was artisan mines. Dan worked with the Amichoco Foundation who assists artisan miners through a program called Green Gold that promotes socially and environmentally mining including address child labor in artisan mines. Amichoco evolved Green Gold into a company called Biodiversa that is owned by the artisan miners.

**Ena Lilian Nunez**, one of OAI’s associates in Latin America, will serve as the assistant evaluator. Ena is a labor lawyer with extensive labor rights experience in Latin America. She is also an experienced evaluator. She co-conducted the final evaluation of the "Todos y Todas Trabajamos" project funded by USDOL and implemented by Catholic Relief Services in Central America and the Dominican Republic. She also co-conducted the final evaluation of the Strengthening Unions to Protect Worker Rights in Peru project and the midterm evaluation of the Strengthening the Labor Inspection System in Peru. Both projects were funded by USDOL.

In addition to her evaluation experience, Ena has been involved in a range of consultancies addressing child labor and youth employment in Central America. For example, in El Salvador, she conducted an assessment and developed an apprenticeship plan for youth employment for the Ministry of Labor in El Salvador; designed and implemented a training plan on labor legislation for youth workers; conducted an assessment of youth migration in Central America for SICA; and conducted training for trade union organizations in El Salvador on worst forms of child labor and how to use collective bargaining to eliminate child labor.

### *Data Collection Methodology*

The data collection methodology will consist of document reviews, key informant interviews with key stakeholders, and field visits to project sites to interview project beneficiaries (children, parents, teachers, and community leaders). These are summarized below.

#### 1. Document Review

- Pre-field visit preparation includes extensive review of relevant documents
- During fieldwork, documentation will be verified and additional documents may be collected
- Documents may include:
  - M&E documents (provided by USDOL and the project) including monitoring reports against the CMEP, PRF and Performance Monitoring Report;
  - Needs assessments—both technical and institutional needs assessments;
  - Project document and revisions (or revision requests);
  - Cooperative Agreement;
  - Management Procedures and Guidelines (MPG) FY 2013<sup>74</sup>;
  - Technical Progress and Status Reports;
  - Relevant Federal Financial Reports and up-to-date Outputs Based Budget;
  - Work plans;

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<sup>74</sup> The 2017 MPG will be referred to for review of endline and other relevant M&E documentation

- Correspondence related to Technical Progress Reports;
- Research or other reports undertaken (baseline studies, etc.);
- Project files (including school records) as appropriate.

## 2. Interviews with stakeholders

Key informant interviews will be held with as many project stakeholders as possible. The evaluation team will solicit the opinions of national and local government representatives, legal authorities, union and NGO officials, private sector, project implementing partners, and project staff regarding the project's accomplishments, design, effectiveness, efficiency, management and sustainability.

Depending on the circumstances, these meetings will be one-on-one or group interviews. Technically, stakeholders are all those who have an interest in a project such as implementers, private sector, government officials, and donors. Thus, it is anticipated that meetings will be held with:

- OCFT staff responsible for this evaluation and project prior to the commencement of the field work
- Implementers at all levels, including any official project partners involved
- Headquarters, country director, project managers, and field staff of grantee and partner organizations
- Government ministry officials and local government officials who have been involved in or are knowledgeable about the project
- International NGOs and multilateral agencies working in the area
- Other child protection and/or education organizations, committees and experts in the area and region
- U.S. Embassy staff member

## 4. Field Visits

The evaluator will visit a selection of project sites to conduct key informant and focus group interviews with children, parents, teachers, and community members in project intervention areas. The final selection of field sites to be visited will be made by the evaluators. Every effort will be made to include some sites where the project experienced successes and others that encountered challenges, as well as a good cross section of sites in targeted capacity, advocacy, and policy sectors. During the visits, the evaluator will observe the activities and outputs developed by the project and conduct focus groups with child beneficiaries. Interviews also will be conducted with representatives from local governments, NGOs, community leaders and educators associated with the project.

### *Ethical Considerations and Confidentiality*

The evaluation mission will observe utmost confidentiality related to sensitive information and feedback elicited during the individual and group interviews. To mitigate bias during the data collection process and ensure a maximum freedom of expression of the

implementing partners, stakeholders, communities, and beneficiaries, implementing partner staff will not be present during interviews. However, implementing partner staff may accompany the evaluator to make introductions whenever necessary, to facilitate the evaluation process, make respondents feel comfortable, and to allow the evaluator to observe the interaction between the implementing partner staff and the interviewees.

### *Stakeholder Meeting*

Following the field visits, the evaluators will conduct a stakeholders’ meeting that brings together a wide range of implementing partners and other interested parties. The list of participants to be invited will be drafted prior to the evaluator’s visit and confirmed in consultation with project staff during fieldwork.

The meeting will be used to present the major preliminary findings and emerging issues, solicit recommendations, and obtain clarification or additional information from stakeholders, including those not interviewed earlier. The evaluator will determine the meeting agenda, in consultation with project staff. Some specific questions for stakeholders may be prepared in advance to guide the discussion, which may include a brief written feedback form. PACT and USDOL will be invited to participate remotely.

The agenda is expected to include some of the following items:

1. Presentation by the evaluator of the key preliminary findings
2. Feedback and questions from stakeholders on the findings
3. Opportunity for implementing partners who were not interviewed to present their views on progress and challenges in their locality
4. Discussion of recommendations to improve future USDOL child labor prevention projects especially those with similar objectives and strategies.

A debrief call will be held with the lead evaluator and USDOL after the stakeholder workshop to provide USDOL with preliminary findings and solicit feedback as needed.

### *Limitations*

Fieldwork for the evaluation will last two weeks, and the evaluator will not have enough time to visit all project sites. As a result, the evaluator will not be able to take all sites into consideration when formulating findings. All efforts will be made to ensure that the evaluator is visiting a representative sample of sites, including some that have performed well and others that have experienced challenges.

This is not a formal impact assessment. Findings for the evaluation will be based on information collected from background documents and in interviews with stakeholders, project staff, and beneficiaries. The accuracy of the evaluation findings will be determined by the integrity of information provided to the evaluator from these sources.

Furthermore, the ability of the evaluator to determine efficiency will be limited by the amount of financial data available. A cost-efficiency analysis is not included because it



would require impact data, which is not available. An assessment on project efficiency is expected to be included in the evaluation (inputs to outputs); see evaluation questions above.

### *Timetable*

The tentative timetable is as follows. Actual dates may be adjusted as needs arise.

<b>Task</b>	<b>Date</b>
Background project documents sent to contractor	Dec 14
Evaluation purpose and questions submitted to contractor	Dec 18
Draft TOR sent to OCFT and grantee for comment	Dec 20
Cable clearance information submitted to USDOL	Dec 21
Conference call to discuss logistics and field itinerary	TBD
Finalize TOR with USDOL and Grantee and submit to both parties	Jan 11
Finalize field itinerary and stakeholder list for workshop	Feb 19
Develop and submit data collection matrix	Feb 20
Conduct interviews with USDOL and PACT home office staff	TBD
Fieldwork	Mar 5-16
Post-fieldwork debrief call	Mar 20
Draft report to USDOL & Grantee for 48-hour review	Apr 9
USDOL & Grantee send 48-hour review comments	Apr 11
Revised report to USDOL & Grantee for 2-week review	Apr 12
USDOL & Grantee send comments after full 2-week review	Apr 26
Final draft report to USDOL with evaluator comments/responses	May 1
Final report sent to USDOL (edited and 508 compliant)	May 8

## **4. Expected Outputs and Deliverables**

Fifteen working days following the lead evaluator’s return from fieldwork, a first draft evaluation report will be submitted to USDOL and PACT for the first (48 hour) review. The report should have the following structure and content:

- I. Table of Contents
- II. List of Acronyms
- III. Executive Summary (providing an overview of the evaluation, summary of main findings/lessons learned/good practices, and key recommendations not to exceed 5 pages)
- IV. Evaluation Objectives and Methodology
- V. Project Context and Description
- VI. Findings (answers to evaluation questions with supporting evidence)
- VII. Conclusions (interpretation of facts including criteria for judgements)

- VIII. Recommendations (critical for successfully meeting project objectives; judgments on what changes need to be made for future projects)
- IX. Annexes - including list of documents reviewed; interviews/meetings/site visits; stakeholder workshop agenda and participants; TOR; etc.

The total length will not exceed 30 pages for the main body of the report, excluding the executive summary and annexes.

The first draft of the report will be circulated to OCFT, PACT, and subgrantees for their review. Comments will be consolidated and incorporated into the final report as appropriate, and the lead evaluator will provide a response to OCFT, in the form of a comment matrix, as to why any comments might not have been incorporated.

While the substantive content of the findings, conclusions, and recommendations of the report shall be determined by the lead evaluator, the report is subject to final approval by ILAB/OCFT in terms of whether or not the report meets the conditions of the TOR.

## **5. Evaluation Management and Responsibilities**

The evaluators are responsible for conducting the evaluation according to the terms of reference (TOR). They will:

- Review project background documents
- Review the evaluation questions and refine the questions, as necessary
- Develop and implement an evaluation methodology (i.e., conduct interviews, review documents) to answer the evaluation questions, including a detailed discussion of constraints generated by the retrospective nature of this evaluation methodology and data collection and how those constraints could be avoided in future projects
- Conduct planning meetings/calls, as necessary, with USDOL and PACT
- Cover international and national travel (airline tickets), hotels, meals, taxis to and from airports, and other incidental travel expenses.
- Decide composition of itinerary, field visits, and interviews to ensure objectivity of the evaluation
- Present verbally preliminary findings to project field staff and other stakeholders as determined in consultation with USDOL and PACT
- Prepare initial drafts (48-hour and 2-week reviews) of the evaluation report and share with USDOL and PACT
- Prepare and submit final report

USDOL is responsible for:

- Providing project background documents to the evaluator
- Providing evaluation questions and other input
- Approving the TOR

- Obtaining country clearance
- Briefing PACT on evaluation to ensure coordination and preparation for evaluator
- Reviewing of and providing comments on the draft evaluation reports
- Approving the final draft of the evaluation report
- Participating in the post-trip debriefing

PACT is responsible for:

- Reviewing and providing input to the TOR
- Providing project background materials to the evaluator
- Providing information on all project sites for the evaluator to choose from in deciding the evaluation itinerary
- Preparing a list of recommended interviewees
- Scheduling meetings for field visit and coordinating all logistical arrangements
- Reviewing and providing comments on the draft evaluation reports
- Participating in the post-fieldwork stakeholder debrief to review and discuss preliminary findings
- Provide local ground transportation to and from meetings and interviews including visits to project sites requiring ground transportation
- Organizing, participating in, and paying for the stakeholder meeting
- Translating final report’s conclusions, recommendation, and promising good practices into Spanish for dissemination among partner organizations and relevant stakeholders

## **Annex B: Interview Guides and Data Collection Matrix**

### ***Master List of Questions***

1. How well did the components and integrated approach contribute to reducing child labor in the intervention areas? Please comment on both the strengths and weakness of this approach.
2. Have the achievements of the project been consistent with the Theory of Change? What factors positively or negatively impacted the theory of change?
3. How effective were the Project’s interventions? Please comment on each of the following:
  - Ruta de Gestion Territorial.
  - Intensification strategy and impact on national policy, education, and livelihood components
  - Safe environments for children strategy.
  - Pazlobien methodology.
  - Mine formalization and livelihoods strategies.
  - Strategy to address out-of-school children.
  - Communication strategy.
4. Was the project effective at involving and collaborating with key stakeholders to combat child labor in the mining sector (policy, education and livelihood interventions)? Comment on the opportunities and challenges of working with the following key stakeholders:
  - National government
  - Local government
  - Civil society
  - Community
  - Private sector
5. How effective was the project’s coordinating committee in facilitating collaboration with government agencies to achieve results? Is it a good practice that could be replicated?
6. Do you think the project activities were efficient in terms of financial and human resources in relation to outcomes (cost to benefit)? Do you think the project could have been more cost efficient? Please explain.
7. Did the project face any management and implementation challenges? If so, what were they and were they addressed?
8. Were the CMEP tools useful and appropriate for the project implementation and project management? How might they be improved for future projects? Did the M&E system meet the requirements of the project?
9. Which of the project’s outcomes are most sustainable and transferable to government institutions, the private sector, civil society organizations, and communities?
10. What are the best practices and lessons learned that could benefit similar projects?

**Data Collection Matrix**

Evaluation Questions	Primary Data Sources							
	Documents	USDOL/ PACT HQ.	Project Staff	Project Partners	Central Gov.	Local Gov.	Project Bene. Com.	Private Sector
<b>Relevance</b>								
1. How did the components and integrated approach (ASM, livelihoods, public policy, education) contribute to achieving the goal of reducing child labor in the intervention areas?	x	x	x	x	x	x	X	
2. To what extent did the project contribute to formalizing mining activities and improving livelihoods for vulnerable populations, including gold panners and female miners?	x	x	x	x	x	x	X	x
<b>Project Design and Validity</b>								
3. Have the achievements of the project been consistent with the Theory of Change? What factors positively or negatively impacted the theory of change?	x	x	x	x	x	x		
<b>Project Effectiveness</b>								
4. How effective were the Project's interventions? These include: the pilot “Ruta de Gestión Territorial”, the intensification strategy and impact on national policy; safe environments for children strategy; Pazlobien methodology;	x	x	x	x	x	x	X	

Evaluation Questions	Primary Data Sources							
mine formalization and livelihoods strategies; strategy to address out-of-school children; and the communication and awareness raising strategy.								
5. To what extent has the project’s intensification strategy had an effect on project outcomes and outputs, particularly for the livelihood and educational participants? How has the intensification strategy strengthened project implementation and coordination in areas of intervention?	x	x	x	x	x	x		
6. How effective was the project’s strategy to involve key stakeholders (national, departmental, and local government agencies, private sector, and civil society organizations) in efforts against child labor, with a focus on mining?	x	x	x	x	x	x		x
7. How effective was the project’s coordinating committee in facilitating collaboration with government agencies and establishing synergies to achieve better results? Is it a good practice that could be replicated?	x	x	x	x	x			
<b>Efficiency</b>								
8. Were the project activities efficient in terms of financial and human	x		x	x	x	x		

Evaluation Questions	Primary Data Sources							
resources in relation to its results and outputs?								
<b>Effectiveness of Project Management</b>								
9. How effective was the project in overcoming management and implementation challenges? Was the project effective at collaborating with government entities and the private sector on livelihood and education interventions?	x	x	x	x	x	x		x
10. Were the CMEP tools useful and appropriate for the project implementation and project management?			x	x				
11. Was the Monitoring and Evaluation (M&E) system efficiently adjusted for the requirements and needs of the project? Did the M&E tools facilitate discussions with local and national governments?			x	x	x	x		
<b>Sustainability</b>								
12. Which of the project's outputs/outcomes are most sustainable (durable) and transferable to government institutions, the private sector, civil society organizations, and communities to support efforts to reduce child labor in Colombia?	x	x	x	x	x	x	x	x
13. What are the best practices and lessons learned that could benefit similar projects? (including livelihood, mine formalization/legalization,	x	x	x	x	x	x	x	x

Evaluation Questions	Primary Data Sources							
and communication strategies, as well as and the pilot “Ruta de Gestión Territorial para la Prevención y Reducción del Trabajo Infantil Minero,”)								
14. In general, what were the challenges and opportunities for working with the government, NGOs, the private sector and communities?			x	x			x	

Primary Data Source	Expanded Data Sources	Kind of Information
Documents	Project Document, CMEP, TPRs, Intensification Strategy, Baseline Study, Project Communication Materials and Reports	Information to assess relevance of the project, project design including Theory of Change, progress in achieving indicator targets, factors affecting achievement (largely TPRs), and management issues.
USDOL/PACT HQ	USDOL Project Manager, PACT Project Oversight Managers	Information regarding impressions of relevance, RF and ToC, interventions, their effectiveness, progress on achieving targets, management issues, sustainability of outcomes, and good practices and lessons.
Project Staff	Project Director, M&E team, Communications Director, Livelihoods team,	Information regarding impressions of relevance, RF and ToC, interventions, their effectiveness, progress on achieving targets, management issues, sustainability of outcomes, and good practices and lessons.
Project Partners	Alliance for Responsible Mining (ARM), Fundación Mi Sangre (FMS), Fondo Acción (FA)	Information targeted to each partner: ARM for formalization and livelihoods, FMS for the educational interventions especially Pazalobien methodology, FA for public policy. Partners will provide information on relevance, project design, and effectiveness of interventions and progress as well as sustainability and lessons learned for future projects.



Primary Data Source	Expanded Data Sources	Kind of Information
Central Government	Ministry of Labor, Fundamental Worker Rights, Ministry of Mines, ICBF, SNBF, Ministry of Culture, DPS	Information about the relevance of the project, project design including ToC, the effectiveness of the interventions, and perceptions about important achievements. Information regarding sustainability and lessons learned will also be sourced from these stakeholders.
Local Government	Mayors, Ministry of Culture, Ministry of Labor, Family Commissions	Information at the local government levels regarding the appropriateness of the interventions as well as their effectiveness. Information also regarding sustainability and lessons learned and good practices.
Beneficiaries/Communities	Child laborers, parents, teachers, miners, community leaders	Information on the appropriateness of the interventions and their effectiveness (formalization, formal and non-formal education, livelihoods). Information will be sourced largely through focus group discussions and group interviews to fully understand the perceptions of direct and indirect project beneficiaries.
Private Sector	TBD	TBD

## **Annex C: List of Documents Reviewed**

Colombia SCA June 13, 2013

ILAB/OCFT 2013 MPG for Cooperative Agreements

Perception of Child Labor in the Mining Sector in Colombia (February 2017)

Somos Tesoro Comprehensive Monitoring and Evaluation Plan (Revised November 2017)

Somos Tesoro Communication Strategy

Somos Tesoro Cooperative Agreement (IL-249191375K)

Somos Tesoro Coordinating Committee Framework of Understanding

Somos Tesoro Household Baseline Survey (January 2017)

Somos Tesoro Intensification Strategy

Somos Tesoro Project Document (Revised May 2016)

Somos Tesoro Project Revisions 1-5

Somos Tesoro Budget and Expense Report (February 2018)

Somos Tesoro Audit Final Determination (December 2016)

Somos Tesoro TPR and Annexes October 2013

Somos Tesoro TPR and Annexes April 2014

Somos Tesoro TPR and Annexes October 2014

Somos Tesoro TPR and Annexes April 2015

Somos Tesoro TPR and Annexes October 2015

Somos Tesoro TPR and Annexes April 2016

Somos Tesoro TPR and Annexes October 2016

Somos Tesoro TPR and Annexes April 2017

Somos Tesoro TPR and Annexes October 2017

## **Annex D: List of Persons Interviewed**

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